2019 Washington Street, East
Charleston, WV 25305
Telephone: 304-558-2306
General Fax: 304-558-6026
Bid Fax: 304-558-3970

The following documentation is an electronically-submitted vendor response to an advertised solicitation from the *West Virginia Purchasing Bulletin* within the Vendor Self-Service portal at *wvOASIS.gov*. As part of the State of West Virginia's procurement process, and to maintain the transparency of the bid-opening process, this documentation submitted online is publicly posted by the West Virginia Purchasing Division at *WVPurchasing.gov* with any other vendor responses to this solicitation submitted to the Purchasing Division in hard copy format.

Jump to: FORMS Go

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Welcome, Lu Anne Cottrill

Procurement | Budgeting | Accounts Receivable | Accounts Payable

Solicitation Response(SR) **Dept:** 1600 **ID:** ESR07131800000000242 **Ver.:** 1 **Function:** New **Phase:** Final ▼ Modified by batch , 07/16/2018

Header 📎 2

List View

General Information | Contact | Default Values | Discount | Document Information

Procurement Folder: 446008	**SO Doc Code:** CRFQ
Procurement Type: Central Contract - Fixed Amt	**SO Dept:** 1600
Vendor ID: 000000186731	**SO Doc ID:** SOS1800000007
Legal Name: GL SOLUTIONS	**Published Date:** 7/13/18
Alias/DBA:	**Close Date:** 7/16/18
Total Bid: $954,001.96	**Close Time:** 13:30
Response Date: 07/13/2018	**Status:** Closed

Apply Default Values to Commodity Lines | View Procurement Folder

Proc Folder : 446008

Solicitation Description : Addendum No. 4-Enterprise Registration and Licensing System

Proc Type : Central Contract - Fixed Amt

Date issued	Solicitation Closes	Solicitation Response	Version
	2018-07-16 13:30:00	SR 1600 ESR07131800000000242	1

VENDOR

000000186731

GL SOLUTIONS

Solicitation Number: CRFQ   1600   SOS1800000007

Total Bid : $954,001.96   **Response Date:**   2018-07-13   **Response Time:**   18:18:45

Comments:

FOR INFORMATION CONTACT THE BUYER

Tara Lyle

(304) 558-2544
tara.l.lyle@wv.gov

Signature on File   **FEIN #**   **DATE**

All offers subject to all terms and conditions contained in this solicitation

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
1	Enterprise Registration and Licensing System (ERLS)	0.00000			$954,001.96

Comm Code	Manufacturer	Specification	Model #	
81112300				

Extended Description : Pricing Page-Exhibit A-provided under separate addendum

West Virginia Secretary of State

CRFQ # SOS1800000007

Enterprise Registration and Licensing System

Proposal from GL Solutions

Government Licensing Solutions
to Streamline Regulatory Agencies

Submission Deadline: 1:30 pm EDT July 13th, 2018

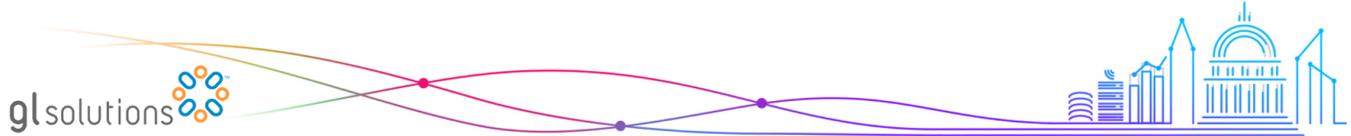**Contact Information:**

Bill Moseley, CEO

moseley@glsolutions.com

GL Solutions

P.O. Box 591, Bend, OR 97709

541-312-3662 (ph)

503-374-9063 (fx)

www.glsolutions.com

Contents

Cover Letter

GL Solutions
P.O. Box 591
Bend, OR 97709
July 10, 2018

West Virginia Secretary of State
1900 Kanawha Blvd E
Charleston, WV 25305

RE: CRFQ SOS1800000007 – Enterprise Registration and Licensing System

Response Review Committee:

GL Solutions is pleased to submit this proposal to West Virginia Secretary of State for an Enterprise Registration and Licensing System. I am the President and CEO of GL Solutions and the person designated to answer questions about this response. You will find my contact information on the cover page of this response.

GL Solutions is a privately-owned company with one location in Bend, Oregon and 44 staff members. Since our founding over 20 years ago, we have implemented our highly flexible system to support licensing, permitting, compliance, certification, inspection, credentialing, registration, continuing education and enforcement activities in various professional regulation, health and safety environments for over 60 government agencies in 24 states. We have developed and supported enterprise registration and licensing systems for states to regulate many industries, including Emergency Services, State Departments of Public Health, Commerce, Protective and Justice Services, as well as State Boards of Medicine, Nursing, Veterinary Medicine, Licensure, Pharmacy and Dentistry—to name only a few.

GL Solutions develops and supports GL Suite, our configurable off-the-shelf software package for automating the operations of regulatory agencies. GL Solutions is dedicated to providing outstanding information systems that improve the organizational productivity of state government agencies. GL Solutions stands apart in the industry with its ability to deliver all desired functionality, at an affordable price, in a timeframe that meets even the tightest of schedules. Founded in 1997 by former government licensing administrators, GL Solutions is built on a solid bedrock of government regulatory expertise and an unwavering commitment to improving the productivity of government organizations.

GL Suite software is a fully-integrated government licensing software solution with the configurable versatility to organize the processes and data of each regulatory agency. GL Suite will simplify your procedures and handle every aspect of regulation to meet the agencies' missions, including application intake, review, inspection, investigation, permit status, and compliance activities. The product components are specified and configured for

each agency, to build the specialized solutions necessary to guide each agency's many stakeholders. Its intuitive design and web-based interface help our customers streamline every process and activity, eliminating the need for many manual processes.

GL Solutions puts a focus on integrated guidance in all aspects of our experience. Our integrated guidance begins with the initiation of the project, ensuring both our staff and clients are aligned and coordinated to ensure a successful execution. Integrated guidance is also built directly into the application, guiding Agency staff through specific processes and procedures.

We have a proven record of accomplishment for meeting project goals and delivering all agreed upon components of software implementation. We specialize in creating systems for government regulatory agencies. Using our experience, we will work with you to identify and achieve your goals. To support our effort, we follow a time-tested, effective risk management methodology to identify, control and mitigate potential risks. The GL Solutions Project Management Methodology is a well-thought-out and effective process that has been highly successful for government regulatory agencies of all types and sizes.

Our software is industry-tested, highly flexible and user-friendly. GL Suite can meet all of your system and technical requirements, configuration specifications and reporting needs. It is a web-based software application that includes an intuitive user interface displayed in a web browser. The GL Suite software is backed by our support teams, our tech support plans, and our unparalleled, comprehensive GL Simple support plans, including a training program conducted in an organized and structured manner that will meet all of your agency's needs.

GL Solutions has substantial experience, a record of success, a talented team of employees and a mature, comprehensive software solution. We appreciate the opportunity to offer this response to West Virginia Secretary of State in your pursuit of a new Enterprise Registration and Licensing System. We are pleased to be considered as a candidate and look forward to the prospect of working with you to create an efficient system to support your daily efforts. Thank you for considering GL Solutions on this important project.

All the information provided in this response is true and accurate, and I am the individual authorized to negotiate on behalf of GL Solutions. Contact me using the information included on the cover page.

Sincerely,

Bill Moseley
President and CEO, GL Solutions
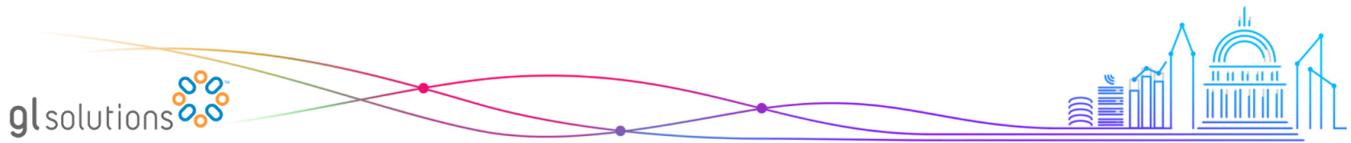
Contract Manager: During its performance of this Contract, Vendor must designate and maintain a primary contract manager responsible for overseeing Vendor's responsibilities under this Contract. The Contract manager must be available during normal business hours to address any customer service or other issues related to this Contract. Vendor should list its Contract manager and his or her contact information below.

Contract Manager: Bill Moseley_____

Telephone Number: 541-312-3662_____

Fax Number: N/A_____

Email Address: moseley@glsolutions.com_____
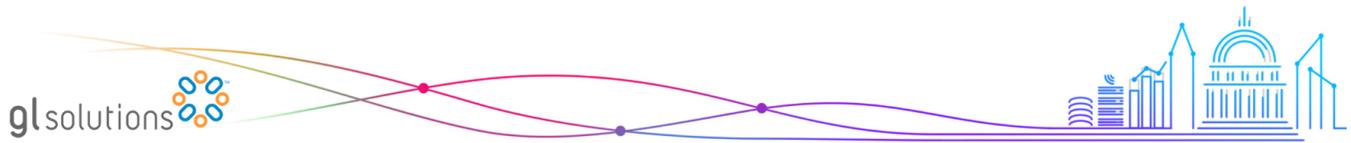
Exceptions

GL Solutions has identified the following requirements that we take exception to.

3.1.2   is funded entirely or primarily via a transactional model

GL Solutions requires payment upon delivery and acceptance of key deliverables, with few exceptions. Exceptions to this include the licensing fee (due upon contract execution) and warranty support (due annually, in advance of service). A more comprehensive breakdown of deliverable and fee schedules is included in the pricing sheet. GL Solutions expects objections to this exception would be discussed during contract negotiations.
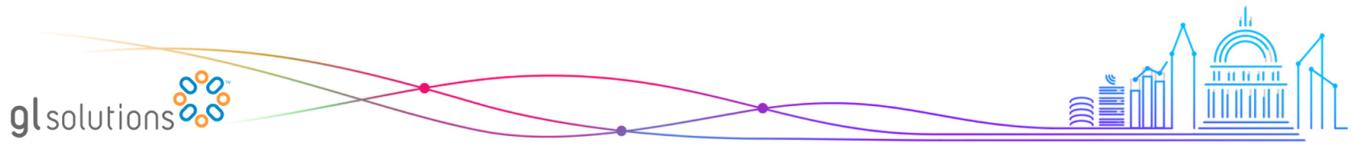
Signed Documents

GL Solutions has included on the following pages the required signed documents for the proposal. These documents include the Final CRFQ 1600 forms, as well as the signed Purchasing Affidavit and addendums.

PURCHASING AFFIDAVIT

CONSTRUCTION CONTRACTS: Under W. Va. Code § 5-22-1(i), the contracting public entity shall not award a construction contract to any bidder that is known to be in default on any monetary obligation owed to the state or a political subdivision of the state, including, but not limited to, obligations related to payroll taxes, property taxes, sales and use taxes, fire service fees, or other fines or fees.

ALL CONTRACTS: Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

EXCEPTION: The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

DEFINITIONS:

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Employer default" means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

"Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

AFFIRMATION: By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (*W. Va. Code* §61-5-3) that: (1) for construction contracts, the vendor is not in default on any monetary obligation owed to the state or a political subdivision of the state, and (2) for all other contracts, that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

WITNESS THE FOLLOWING SIGNATURE:

Vendor's Name: _G L Suite, Inc_

Authorized Signature: _____ Date: _07/11/2018_
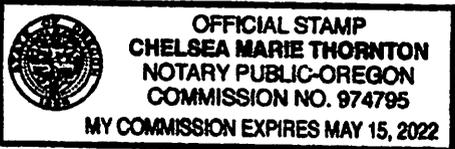
State of _Oregon_

County of _Deschutes_ , to-wit:

Taken, subscribed, and sworn to before me this _11_ day of _July_ , 20_18_.

My Commission expires _5/15_ , 20_22_.

AFFIX SEAL HERE   NOTARY PUBLIC _____

OFFICIAL STAMP
CHELSEA MARIE THORNTON
NOTARY PUBLIC-OREGON
COMMISSION NO. 974795
MY COMMISSION EXPIRES MAY 15, 2022

Purchasing Divison
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Request for Quotation
21 — Info Technology

Proc Folder: 446008

Doc Description: Addendum No. 1-Enterprise Registration and Licensing System

Proc Type: Central Contract - Fixed Amt

Date Issued	Solicitation Closes	Solicitation No	Version
2018-06-12	2018-06-28 13:30:00	CRFQ 1600 SOS1800000007	2

BID RECEIVING LOCATION

BID CLERK
DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
2019 WASHINGTON ST E
CHARLESTON   WV   25305
US

VENDOR

Vendor Name, Address and Telephone Number:

GL Solutions
P.O. Box 591
Bend, OR 97709
541-312-3662

FOR INFORMATION CONTACT THE BUYER

Tara Lyle
(304) 558-2544
tara.l.lyle@wv.gov

Signature X _(signature)_   **FEIN #** 43-1797439   **DATE** 7/12/2018

All offers subject to all terms and conditions contained in this solicitation

Addendum No. 1 - Issued for the following -

1.   Revise Section 5 - Contract Award in the specifications. See attached pages.

2.   Pricing Page attached. See Exhibit A.

3.   To change the question deadline from 6/18/2018 to 06/20/2018.

4.   To change the bid opening from 06/25/2018 to 06/28/2018. The bid opening remains at 1:30 pm.

INVOICE TO		SHIP TO	
CFO		SUPPLY CLERK	
SECRETARY OF STATE		SECRETARY OF STATE	
BLDG 1 STE 157K		BLDG 1 STE 157K	
1900 KANAWHA BLVD E		1900 KANAWHA BLVD E	
CHARLESTON	WV 25305-0770	CHARLESTON	WV 25305-0770
US		US	

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	Enterprise Registration and Licensing System (ERLS)				

Comm Code	Manufacturer	Specification	Model #
81112300			

Extended Description :
Pricing Page-Exhibit A-provided under separate addendum

Line	Event	Event Date
1	Technical questions due by 4:00 pm	2018-06-20

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

The purpose of this addendum is to modify the solicitation identified as CRFQ SOS1800000007 ("Solicitation") to reflect the change(s) identified and described below.

Applicable Addendum Category:

[X] Modify bid opening date and time

[ ] Modify specifications of product or service being sought

[ ] Attachment of vendor questions and responses

[ ] Attachment of pre-bid sign-in sheet

[X] Correction of error

[X] Other

Description of Modification to Solicitation:

1. Revise Section 5 – Contract Award in the specifications. See Attachment A.

2. Pricing Page attached. See Exhibit A.

3. To change the question deadline from 6/18/2018 to 06/20/2018.

4. To change the bid opening from 06/25/2018 to 06/28/2018. The bid opening remains at 1:30 pm.

Additional Documentation: Documentation related to this Addendum (if any) has been included herewith as Attachment A and is specifically incorporated herein by reference.

Terms and Conditions:
1. All provisions of the Solicitation and other addenda not modified herein shall remain in full force and effect.

2. Vendor should acknowledge receipt of all addenda issued for this Solicitation by completing an Addendum Acknowledgment, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

Clarification:

C1: To remove Section 5 – Contract Award in its entirety and replace with the following:

5. CONTRACT AWARD:

   5.1 Contract Award: The Contract is intended to provide Agency with a purchase price for the Contract Services. The Contract shall be awarded to the Vendor that provides the Contract Services meeting the required specifications for the lowest overall total cost as shown on the Pricing Pages.

   5.2 Pricing Page: Vendor should complete the Pricing Page by providing a unit price for Item Nos. 1 through 4. The unit price should be multiplied by the quantity to get the total for the extended cost. Next, Vendor should provide a unit price for the customization programming on Item No. 5. This unit price should then be multiplied by the estimated quantity to get the total for the extended cost. Once vendor has the amounts for the extended cost for Item Nos. 1 through 5, then the Vendor should total the extended costs to get the Overall Total Cost.

   Vendor should complete the Pricing Page in full as failure to complete the Pricing Page in its entirety may result in Vendor's bid being disqualified.

   Vendor should type or electronically enter the information into the Pricing Pages through wvOASIS, if available, or as an electronic document. In most cases, the Vendor can request an electronic copy of the Pricing Pages for bid purposes by sending an email request to the following address: tara.l.lyle@wv.gov.

   5.3 Vendor should provide with their bid a copy of any and all Software Terms and Conditions or licenses that the State of West Virginia or the Agency will have to agree to or accept as a part of this solicitation. This information will be required before Purchase Order is issued.

   5.4 Vendor should include a copy of any Maintenance Terms and Conditions or Licenses that the State of West Virginia or the Agency will be required to agree to and accept as a part of this solicitation. This information will be required before Purchase Order is issued.

Other Information:

1. Exhibit A – Pricing Page attached. An electronic copy of the Pricing Page is available through wvOASIS.
2. The question deadline has changed from 06/18/2018 to 06/20/2018 by 4:00 pm.
3. The bid opening has moved from 06/25/2018 to 06/28/2018. The bid opening time remains at 1:30 pm.

Item #	Item	Vendor Description	Unit of Measure	Quantity	Unit Price	Extended Cost
1	Commercial Off-the-Shelf (COTS) Enterprise Registration and Licensing System (ERLS) including License, Software, Set-up, Configuration, Installation, Historical Data Migration and System Training, including Five Years of Maintenance and Support/Warranty *Vendors should include an itemized breakdown of the charges below.*		Lump Sum	1		$ -
2	Sixth Year (6th) Maintenance and Support/Warranty **		Year	1		$ -
3	Seventh (7th) Year Maintenance and Support/Warranty **		Year	1		$ -
4	Eighth (8th) Year Maintenance and Support/Warranty **		Year	1		$ -
			Total for Item Nos. 1 through 4			$ -

		UNIT PRICES				
Item	Vendor should provide a unit price for custom programming. This unit price will only be used to execute formal Change Orders during the life of the contract, if required. Estimated Quantities are included for bid evaluation only; there is no guarantee that any quantity if the Item(s) will be purchased.					
5	Customization Programing		Hour	80		$ -
				Total for Item No. 5		$ -
			Lowest Overall Total Cost (Item Nos. 1+2+3+4+5) =			$ -

The Contract is intended to provide Agency with a purchase price for the Contract Services. The Contract shall be awarded to the Vendor that provides the Contract Services (Item Nos. 1 through 5 above) meeting the required specifications for the lowest overall total cost as shown on the Pricing Pages. Renewal options for years 6, 7, and 8 will be initiated by the Agency, agreed to by the Vendor and processed by the West Virginia Purchasing Division as Change Orders for subsequent years. Customization Programming will only be used to execute change orders during the life of the contract, if required.

*   **Breakdown of Costs for Item No. 1**

ERLS System	$ _____
License and Software	$ _____
Set-up, Configuration and Installation	$ _____
Historical Data Migration	$ _____
System Training	$ _____
Maintenance and Support/Warranty Years 1 through 5	$ _____

**   Years 6, 7 and 8 of annual maintenance and support/warranty will be added by subsequent change order.

Vendor Name: _____

Authorized Signature: _____

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: CRFQ SOS1800000007

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:
(Check the box next to each addendum received)

[✓] Addendum No. 1   [ ] Addendum No. 6

[✓] Addendum No. 2   [ ] Addendum No. 7

[✓] Addendum No. 3   [ ] Addendum No. 8

[ ] Addendum No. 4   [ ] Addendum No. 9

[ ] Addendum No. 5   [ ] Addendum No. 10

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

GL Solutions
_____
Company

/3ペア
_____
Authorized Signature

7/12/2018
_____
Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.

SOLICITATION NUMBER: CRFQ – SOS1800000007
Addendum Number: 2

The purpose of this addendum is to modify the solicitation identified as CRFQ SOS1800000007 ("Solicitation") to reflect the change(s) identified and described below.

Applicable Addendum Category:

[X]   Modify bid opening date and time

[ ]   Modify specifications of product or service being sought

[ ]   Attachment of vendor questions and responses

[ ]   Attachment of pre-bid sign-in sheet

[ ]   Correction of error

[X]   Other

Description of Modification to Solicitation:

1. To change the bid opening from 06/28/2018 to 07/10/2018. The bid opening remains at 1:30 pm.

2. Responses to vendor questions will be issued under a separate addendum.

Additional Documentation: Documentation related to this Addendum (if any) has been included herewith as Attachment A and is specifically incorporated herein by reference.

Terms and Conditions:
1. All provisions of the Solicitation and other addenda not modified herein shall remain in full force and effect.

2. Vendor should acknowledge receipt of all addenda issued for this Solicitation by completing an Addendum Acknowledgment, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: CRFQ SOS1800000007

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:
(Check the box next to each addendum received)

[✓] Addendum No. 1   [   ] Addendum No. 6

[✓] Addendum No. 2   [   ] Addendum No. 7

[✓] Addendum No. 3   [   ] Addendum No. 8

[   ] Addendum No. 4   [   ] Addendum No. 9

[   ] Addendum No. 5   [   ] Addendum No. 10

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

GL Solutions
_____
Company

_____
Authorized Signature

7/12/2018
_____
Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.

Purchasing Divison
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Request for Quotation
21 — Info Technology

Proc Folder: 446008				
Doc Description: Addendum No. 3-Enterprise Registration and Licensing System				
Proc Type: Central Contract - Fixed Amt				
Date Issued	Solicitation Closes	Solicitation No		Version
2018-07-03	2018-07-13 13:30:00	CRFQ 1600 SOS1800000007		4

BID RECEIVING LOCATION

BID CLERK
DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
2019 WASHINGTON ST E
CHARLESTON   WV   25305
US

VENDOR

Vendor Name, Address and Telephone Number:

GL Solutions
P.O. Box 591
Bend, Oregon 97709
541-312-3662

FOR INFORMATION CONTACT THE BUYER
Tara Lyle
(304) 558-2544
tara.l.lyle@wv.gov

Signature X _____   FEIN # 43-1797439   DATE 7/12/2018

All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION:

Addendum No. 3 - Issued for the following -

1. To change the bid opening from 07/10/2018 to 07/13/2018. The bid opening remains at 1:30 pm.

2. Responses to vendor questions attached.

3. Revised pricing page attached.

INVOICE TO		SHIP TO	
CFO		SUPPLY CLERK	
SECRETARY OF STATE		SECRETARY OF STATE	
BLDG 1 STE 157K		BLDG 1 STE 157K	
1900 KANAWHA BLVD E		1900 KANAWHA BLVD E	
CHARLESTON	WV 25305-0770	CHARLESTON	WV 25305-0770
US		US	

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	Enterprise Registration and Licensing System (ERLS)				

Comm Code	Manufacturer	Specification	Model #
81112300			

Extended Description :
Pricing Page-Exhibit A-provided under separate addendum

SCHEDULE OF EVENTS

Line	Event	Event Date
1	Technical questions due by 4:00 pm	2018-06-20

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

SOLICITATION NUMBER: CRFQ – SOS1800000007
Addendum Number: 3

The purpose of this addendum is to modify the solicitation identified as CRFQ SOS1800000007 ("Solicitation") to reflect the change(s) identified and described below.

Applicable Addendum Category:

[X]   Modify bid opening date and time

[ ]   Modify specifications of product or service being sought

[X]   Attachment of vendor questions and responses

[ ]   Attachment of pre-bid sign-in sheet

[ ]   Correction of error

[X]   Other

Description of Modification to Solicitation:

1. To change the bid opening from 07/10/2018 to 07/13/2018. The bid opening remains at 1:30 pm.

2. Responses to vendor questions attached.

3. Revised pricing page and Section 5 Contract Award.

Additional Documentation: Documentation related to this Addendum (if any) has been included herewith as Attachment A and is specifically incorporated herein by reference.

Terms and Conditions:
1. All provisions of the Solicitation and other addenda not modified herein shall remain in full force and effect.

2. Vendor should acknowledge receipt of all addenda issued for this Solicitation by completing an Addendum Acknowledgment, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

ATTACHMENT A
CRFQ SOS1800000007 - ADDENDUM NO. 3

Questions:

Q1:   Whether companies from Outside USA can apply for this? (like from India or Canada)

A1:   Companies may have a presence out of the US, but they must have a US Office and be registered with the WVSOS to transact business in this state.

Q2:   Whether we need to come over there for meetings?

A2:   The CRFQ requires development and training components which should be made onsite.

Q3:   Can we perform the tasks (related to RFP) outside USA? (like, from India or Canada)

A3:   Programming and development may be done at locations at the preference of the successful vendor.

Q4:   Can we submit the proposals via email?

A4:   See Section 6 in the Instructions to Vendors portion of the CRFQ which states, in part,

"All bids must be submitted electronically through wvOASIS or signed and delivered by the Vendor to the Purchasing Division at the address listed below on or before the date and time of the bid opening." "The Purchasing Division will not accept bids, modification of bids, or addendum acknowledgment forms via e-mail. Acceptable delivery methods include electronic submission via wvOASIS, hand delivery, delivery by courier, or facsimile."

Q5:   Section 3 Qualifications, 3.1.2 Transactional Model
Please clarify the expectation of requirement "3.1.2 ...is funded entirely or primarily via a transactional model".

Is this meant to require that the vendor was paid on a per transaction basis for the project referenced, or that the State funded project costs through transaction fees?

A5:   Yes.

Q6:   Section 3 Qualifications, 3.1.2 Transactional Model
Would the State consider vendors with extensive business registry experience that have not had the opportunity to deliver using a transactional pricing model, but have the willingness and ability to do so?

A6:   No.

Q7: General Terms and Conditions, Item 31

Item 31 states that the proposal response would be a public document subject to public disclosure. Our solution encompasses trade secret information on the basis that the functional and architectural designs of our solution represent a core asset and their divulgence to competitors may be damaging.

Will the State consider a provision to submit a redacted proposal and/or submit our confidential material in a separate document?

A7: No.

Q8: General – Solicitation Close

We have reviewed the RFQ for the WV COTS Enterprise Registration and are very excited to offer our proven solution to meet the needs of the State. We request a two week extension to allow vendors a better opportunity to provide a high-quality and compliant response to the State. Consideration of this request is greatly appreciated.

A8: The bid opening has moved from 07/10/2018 to 07/13/2018 at 1:30 pm.

Q9: Page 27 of the Solicitation Document provides a table with information regarding the format, volume, size and age of electronic data the selected Vendor is expected to migrate into the new solution. Information is included for all Registry/License types with the exception of "Private Investigators and Security Guards" & "Marriage Celebrants."

    1.1. Can the format, volume, size and age of the electronic data for these two areas be provided?

A9: Format, volume, size and age are all lumped into the (545MB / 22GB at 6 years age figure) on legacy system;

Q10: Page 21, Section 3.1.2 of the Solicitation Document require that to qualify to respond to this RFQ, Vendors must have previously implemented a similar registry and licensing system that "is funded entirely or primarily via a transactional model."

    2.1 How will the State confirm Vendors' experience in meeting this specific criteria?

        2.1.1 To confirm qualification, shall responding Vendors reference a specific project(s) where this model has been implemented in the past?\

A10: Yes, vendors should reference an example with the bid submission. However, if this information is not provided with the bid, it will be required prior to contract award.

Q11: Can the State confirm its intention that the solution be delivered via a costing model that is funded entirely or primarily by a Transactional funding model?

    3.1   Example: Vendor charges little to no upfront for license and implementation and is credited a specific dollar or percentage amount for each transaction within the Registry/Licenses in the scope of this RFQ for which the State charges a fee.

    3.2   The format of the Pricing Page provided via Addendum 1 does not provide the mechanics for Vendors to respond with a Transactional funding model. If the State confirms "3" above, which of the following does the State prefer?

    3.2.1   The State to provide an alternate (or replacement) Price Page that supports a Transactional pricing model.

    3.2.2   The specific mechanics of a Transactional funding model will be agreed upon after award.

A11: Yes. Revised pricing page attached.

Q12: General Terms & Conditions: 1. Contractual Agreement –States Vendor's signature on its bid signifies Vendor's agreement to be bound by and accept the terms and conditions contained in this Contract. This is inconsistent with sections in this document that indicate exceptions are allowed. (Reference *Instructions to Vendors Section 11. Exceptions and Clarifications* and *RFQ 5. Contract Award*, sections 5.3 and 5.4).

    4.1   Please confirm exceptions are allowed.

A12: There is no inconsistency. Section 11 – Exceptions and Clarifications – states "[t]he Solicitation contains the specifications that shall form the basis of a contractual agreement. Vendor shall clearly mark any exceptions, clarifications, or other proposed modifications in its bid. Exceptions to, clarifications of, or modifications of a requirement or term and condition of the Solicitation may result in bid disqualification.

Q13: General Terms & Conditions: 3. Contract Term, Fixed period Contract with Renewals states "…part of the Contract more fully described…must be completed with 30 days" ("of Vendor receipt of notice to proceed"). We are committed to supporting a fast timeline for Contract completion and project delivery. In our extensive experience with Contracts of this nature, the currently listed timeline for Contract completion may be aggressive.

    5.1 In the event the Contract is not completed within this timeline, will the State consider extending the timeline?

A13: No. Section 3. Contract Term – Fixed Period Contract with Renewals has changed from 30 days to 180 days.

Q14: To afford bidders the time to provide a detailed response, would the state consider extending the proposal submission/opening date by two weeks?

A14: The bid opening has moved from 07/10/2018 to 07/13/2018 at 1:30 pm.

Q15: Are bidders free to structure responses according to their preferences or does the state have a required response format?

A15: This solicitation is a CRFQ or Centralized Request for Quote which means the contract will be awarded to the lowest overall total cost bid meeting the specifications. There is no set response format, however, Vendors should carefully read CRFQ in its entirety.

Q16: Can the state please provide the budget that has been allocated for this project?

A16: No, it is not in the best interest of the State of WV to provide the allocated budget for this project.

Q17: Can the state please provide the scoring formula to be used to score vendors' proposals across the evaluation areas?

A17: This solicitation is a CRFQ or Centralized Request for Quote. Per Addendum No. 1 issued 06/12/2018, Section 5.1, Contract Award, states "[t]he contract shall be awarded to the Vendor that provides the Contract Services meeting the required specifications for the lowest overall total cost as shown on the Pricing Pages." There is not a scoring formula used to score vendor proposals. The lowest bid meeting the specifications will be awarded the contract.

Q18: For the license types included in this system, can the state please provide the renewal policies (annually, every other year, etc.) for license holders?

A18: See Section 3 – Contract Term – in the General Terms and Conditions section of the CRFQ.

Q19: For the license types included in this system, what is the total number of transactions per year?

A19: Notaries: 42,000 renewable on a 5 year cycle, so roughly 8000-9000 per year; Scrap Metal Dealers and Marriage Celebrants are 1-time issued licenses/registrations; Trademarks/Service Marks are renewed every 10 years; all other service areas are renewed annually (4000 PI/SG; 4000 Charities; 400 Athletic Agents. Vendor can anticipate roughly 30,000 transactions from all service areas).

Q20: To aid in development of the project plan, can the state please provide the number of full-time equivalent (FTE) system administrators it plans to make available for this project? System administrators are individuals who will be trained on how to configure and administer the system to meet agency needs.

A20: WVSOS would commit 1 FTE programmer and 1 FTE subject matter expert.

Q21: Can the State please confirm which payment processor will be used by the vendor's solution?

A21: Egov

Q22: Can the state please confirm if it already has an existing scanner that will be used to create the images of paper submissions that will be uploaded into the system? (RFP Requirement 4.1.1.1.1.1)

A22: Yes.

Q23: We interpret RFP Requirement 4.1.1.1.2.1, "the system creates and alters the Notary Public Record on the NOTARY database based on the information contained herein" to mean that the notary record will be created/updated based upon received information and the system shall enforce configured business logic. Is this an accurate interpretation of the requirement?

A23: Yes. Please note this is a CRFQ – Centralized Request for Quote – solicitation which means the contract will be awarded to the lowest bid meeting the specifications.

Q24: We interpret RFP requirement 4.1.1.1.4.1 to mean that the State user accesses a 3rd party fingerprint provider's secure portal to see the results of the fingerprint check. The State user then records the approval of the licensure board based on AG approval and fingerprinting requirements. However, the actual fingerprint results are not stored in the vendor's solution. Is this an accurate interpretation of the requirement?

A24: Yes. Please note this is a CRFQ – Centralized Request for Quote – solicitation which means the contract will be awarded to the lowest bid meeting the specifications.

Q25: RFP Requirement 4.1.1.1.5.1 states that "other statutorily required information" must be captured. Can the State please elaborate on what additional data will be collected in the system?

A25: The WVSOS is not aware of any additional information no already disclosed in the specifications. This is a catch-all phrasing to address any legal requirements unforeseen at this time by the WVSOS.

Please note this is a CRFQ – Centralized Request for Quote – solicitation which means the contract will be awarded to the lowest bid meeting the specifications.

Q26: We interpret the following requirement in Attachment B – Functional Requirements, "The system must provide ability to update or alter any event or filings under a fictitious name without modifying the history" under "Licensing and registry" as stating that the user shall have the capability to modify event/filing data, but that historical information cannot be modified. Is this an accurate interpretation of the requirement?

A26: Yes.

Q27: While the General Terms and Conditions set out the boilerplate provisions, and the Specification set out the high-level details, for the project, the detailed processes (e.g. acceptance, change and approval processes, including acceptance criteria) and detailed descriptions for the ERLS are not included. It is important to both parties that this detail is agreed in advance to provide certainty.

    1.1 Please confirm that such detail will be agreed in advance of final contract execution by the parties?

A27: Any license agreements should be submitted with the vendor's bid.

    1.2 Please advise by what overarching method does the State expect the project to be governed (e.g. Statements of Work that sit under the General Terms and Conditions)?

A27: The project will be governed by the contract resulting from this solicitation. The State does not anticipate an additional statement of work after contract award.

Q28: General Terms & Conditions: 26. Subsequent Forms states the General Terms and Conditions document supersedes all other agreed upon documents (including software order forms and maintenance agreements). This is inconsistent with the Specifications which state license terms and maintenance terms may be submitted as part of the bid (Reference *Instructions to Vendors Section 11. Exceptions and Clarifications* and *RFQ 5. Contract Award*, sections 5.3 and 5.4).

    2.1 Please confirm license terms and maintenance terms may be submitted and those terms will apply to, and prevail in respect of, the subject matter of those terms (subject to any change agreed as part of negotiations).

A28: This is no inconsistency. Unless there is two-party agreement to the contrary, the General Terms and Conditions prevail. Vendor should submit license and maintenance terms with its bid.

Clarification:

C1:   To remove Section 5 – Contract Award in its entirety and replace with the following:

5. CONTRACT AWARD:

5.1 Contract Award: The Contract is intended to provide Agency with a purchase price for the Contract Services. The Contract shall be awarded to the Vendor that provides the Contract Services meeting the required specifications for the lowest overall total cost as shown on the Pricing Pages.

5.2 Pricing Page: Vendor should complete the Pricing Page by providing a unit price for Item Nos. 1 through 4. The unit price should be multiplied by the quantity to get the total for the extended cost. Next, Vendor should provide a unit price for the customization programming on Item No. 5 and the transaction fee on Item No. 6. The unit price for Item Nos. 5 and 6 should then be multiplied by the estimated quantity to get the total for the extended cost. Once vendor has the amounts for the extended cost for Item Nos. 1 through 6, then the Vendor should total all of the extended costs to get the Lowest Overall Total Cost.

Vendor should complete the Pricing Page in full as failure to complete the Pricing Page in its entirety may result in Vendor's bid being disqualified.

Vendor should type or electronically enter the information into the Pricing Pages through wvOASIS, if available, or as an electronic document. In most cases, the Vendor can request an electronic copy of the Pricing Pages for bid purposes by sending an email request to the following address: tara.l.lyle@wv.gov.

5.3 Vendor should provide with their bid a copy of any and all Software Terms and Conditions or licenses that the State of West Virginia or the Agency will have to agree to or accept as a part of this solicitation. This information will be required before Purchase Order is issued.

5.4 Vendor should include a copy of any Maintenance Terms and Conditions or Licenses that the State of West Virginia or the Agency will be required to agree to and accept as a part of this solicitation. This information will be required before Purchase Order is issued.

Other Information:

1. Revised pricing attached.

2. Revised Section 5 – Contract Award included.

3. The bid opening has moved from 07/10/2018 to 07/13/2018 at 1:30 pm.

Item No.	Item	Vendor Description	Unit of Measure	Quantity	Unit Price	Extended Cost
1	Commercial Off-the-Shelf (COTS) Enterprise Registration and Licensing System (ERLS) including License, Software, Set-up, Configuration, Installation, Historical Data Migration and System Training, including Five Years of Maintenance and Support/Warranty * *Vendors should include an itemized breakdown of the charges below.*		Lump Sum	1		$ -
2	Sixth Year (6th) Maintenance and Support/Warranty **		Year	1		$ -
3	Seventh (7th) Year Maintenance and Support/Warranty **		Year	1		$ -
4	Eighth (8th) Year Maintenance and Support/Warranty **		Year	1		$ -
			Total for Item Nos. 1 through 4			$ -

UNIT PRICES

Vendor should provide a unit price for custom programming. This unit price will only be used to execute formal Change Orders during the life of the contract, if required. Estimated Quantities are included for bid evaluation only; there is no guarantee that any quantity of the Item(s) will be purchased.

Item No.	Item	Vendor Description	Unit of Measure	Estimated Quantity	Unit Price	Extended Cost
5	Customization Programming		Hour	80		$ -
6	Transactional Fee		Each	30,000		$ -
			Total for Item Nos. 5 and 6			$ -

Lowest Overall Total Cost (Item Nos. 1+2+3+4+5+6) =	$ -

The Contract is intended to provide Agency with a purchase price for the Contract Services. The Contract shall be awarded to the Vendor that provides the Contract Services (Item Nos. 1 through 6 above) meeting the required specifications for the lowest overall total cost as shown on the Pricing Pages. Renewal options for years 6, 7, and 8 will be initiated by the Agency, agreed to by the Vendor and processed by the West Virginia Purchasing Division as Change Orders for subsequent years. Customization Programming will only be used to execute change orders during the life of the contract, if required.

* **Breakdown of Costs for Item No. 1**

ERLS System	$ _____
License and Software	$ _____
Set-up, Configuration and Installation	$ _____
Historical Data Migration	$ _____
System Training	$ _____
Maintenance and Support/Warranty Years 1 through 5	$ _____
Unit Price for Customization Programming	$ _____
Unit Price for Transactional Fee	$ _____

** Years 6, 7 and 8 of annual maintenance and support/warranty will be added by subsequent change order upon mutual agreement between the vendor and the agency.

Vendor Name: _____

Authorized Signature: _____

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: CRFQ SOS1800000007

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:
(Check the box next to each addendum received)

[✓] Addendum No. 1   [   ] Addendum No. 6

[✓] Addendum No. 2   [   ] Addendum No. 7

[✓] Addendum No. 3   [   ] Addendum No. 8

[   ] Addendum No. 4   [   ] Addendum No. 9

[   ] Addendum No. 5   [   ] Addendum No. 10

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

GL Solutions
_____
Company

_____
Authorized Signature

7/12/2018
_____
Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.

Purchasing Divison
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Request for Quotation
21 — **Info Technology**

Proc Folder: 446008

Doc Description: Commercial Off-the-Shelf (COTS) Enterprise Registration

Proc Type: Central Contract - Fixed Amt

Date Issued	Solicitation Closes	Solicitation No	Version
2018-06-08	2018-06-25 13:30:00	CRFQ 1600 SOS1800000007	1

BID RECEIVING LOCATION

BID CLERK

DEPARTMENT OF ADMINISTRATION

PURCHASING DIVISION

2019 WASHINGTON ST E

CHARLESTON   WV   25305

US

VENDOR

Vendor Name, Address and Telephone Number:

GL Solutions
P.O. Box 591, Bend, OR 97709
541-312-3662

FOR INFORMATION CONTACT THE BUYER
Tara Lyle
(304) 558-2544
tara.l.lyle@wv.gov

Signature X _[signature]_   **FEIN #** 43-1797439   **DATE** 7/12/2018

All offers subject to all terms and conditions contained in this solicitation

The West Virginia Purchasing Division is soliciting bids on behalf of West Virginia Secretary of State to establish a contract for the purchase of a configurable Commercial Off-the-Shelf (COTS) Enterprise Registration and Licensing System (ERLS) to modify, unify and integrate the West Virginia Secretary of State's (WVSOS) occupational and charitable licensing databases, per the attached documentation.

PLEASE NOTE: The pricing page, Exhibit A, will be issued under separate addendum.

INVOICE TO	SHIP TO
PURCHASING DIRECTOR 304-356-4116	SUPPLY CLERK
HEALTH AND HUMAN RESOURCES	SECRETARY OF STATE
BPH - COMMISSIONER'S OFFICE	BLDG 1 STE 157K
350 CAPITOL ST, RM 702	1900 KANAWHA BLVD E
CHARLESTON WV 25301-3712	CHARLESTON WV 25305-0770
US	US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	Pricing Page-Exhibit A-provided under separate addendum				

Comm Code	Manufacturer	Specification	Model #
81112300			

Extended Description :

Pricing Page-Exhibit A-provided under separate addendum

Line	Event	Event Date
1	Technical questions due by 2:00 pm	2018-06-18

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

Purchasing Divison
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Request for Quotation
21 — Info Technology

Proc Folder: 446008

Doc Description: Addendum No. 1-Enterprise Registration and Licensing System

Proc Type: Central Contract - Fixed Amt

Date Issued	Solicitation Closes	Solicitation No	Version
2018-06-12	2018-06-28 13:30:00	CRFQ 1600 SOS1800000007	2

BID RECEIVING LOCATION
BID CLERK
DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
2019 WASHINGTON ST E
CHARLESTON WV 25305
US

VENDOR

Vendor Name, Address and Telephone Number:

GL Solutions
P.O. Box 591, Bend, OR 97709
541-312-3662

FOR INFORMATION CONTACT THE BUYER
Tara Lyle
(304) 558-2544
tara.l.lyle@wv.gov

Signature X _Bir R_   **FEIN #** 43-1797439   **DATE** 7/12/2018

All offers subject to all terms and conditions contained in this solicitation

Addendum No. 1 - Issued for the following -

1.   Revise Section 5 - Contract Award in the specifications. See attached pages.

2.   Pricing Page attached. See Exhibit A.

3.   To change the question deadline from 6/18/2018 to 06/20/2018.

4.   To change the bid opening from 06/25/2018 to 06/28/2018. The bid opening remains at 1:30 pm.

INVOICE TO	SHIP TO
CFO SECRETARY OF STATE BLDG 1 STE 157K 1900 KANAWHA BLVD E CHARLESTON WV 25305-0770 US	SUPPLY CLERK SECRETARY OF STATE BLDG 1 STE 157K 1900 KANAWHA BLVD E CHARLESTON WV 25305-0770 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	Enterprise Registration and Licensing System (ERLS)				

Comm Code	Manufacturer	Specification	Model #
81112300			

Extended Description :
Pricing Page-Exhibit A-provided under separate addendum

SCHEDULE OF EVENTS

Line	Event	Event Date
1	Technical questions due by 4:00 pm	2018-06-20

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

Purchasing Divison
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Request for Quotation
21 — **Info Technology**

Proc Folder: 446008

Doc Description: Addendum No. 2-Enterprise Registration and Licensing System

Proc Type: Central Contract - Fixed Amt

Date Issued	Solicitation Closes	Solicitation No	Version
2018-06-22	2018-07-10 13:30:00	CRFQ 1600 SOS1800000007	3

BID RECEIVING LOCATION

BID CLERK

DEPARTMENT OF ADMINISTRATION

PURCHASING DIVISION

2019 WASHINGTON ST E

CHARLESTON   WV   25305

US

VENDOR

Vendor Name, Address and Telephone Number:

GL Solutions
P.O. Box 591, Bend, OR 97709
541-312-3662

FOR INFORMATION CONTACT THE BUYER
Tara Lyle
(304) 558-2544
tara.l.lyle@wv.gov

Signature X _[signature]_   **FEIN #** 43-1797439   **DATE** 7/12/2018

All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION:

Addendum No. 2 - Issued for the following -

1. To change the bid opening from 06/28/2018 to 07/10/2018. The bid opening remains at 1:30 pm.

2. Responses to vendor questions will be issued under a separate addendum.

INVOICE TO	SHIP TO
CFO	SUPPLY CLERK
SECRETARY OF STATE	SECRETARY OF STATE
BLDG 1 STE 157K	BLDG 1 STE 157K
1900 KANAWHA BLVD E	1900 KANAWHA BLVD E
CHARLESTON WV 25305-0770	CHARLESTON WV 25305-0770
US	US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	Enterprise Registration and Licensing System (ERLS)				

Comm Code	Manufacturer	Specification	Model #
81112300			

Extended Description :

Pricing Page-Exhibit A-provided under separate addendum

SCHEDULE OF EVENTS

Line	Event	Event Date
1	Technical questions due by 4:00 pm	2018-06-20

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

Proc Folder: 446008

Doc Description: Addendum No. 3-Enterprise Registration and Licensing System

Proc Type: Central Contract - Fixed Amt

Date Issued	Solicitation Closes	Solicitation No	Version
2018-07-03	2018-07-13 13:30:00	CRFQ 1600 SOS1800000007	4

BID RECEIVING LOCATION

BID CLERK

DEPARTMENT OF ADMINISTRATION

PURCHASING DIVISION

2019 WASHINGTON ST E

CHARLESTON   WV   25305

US

VENDOR

Vendor Name, Address and Telephone Number:

GL Solutions

P.O. Box 591, Bend, OR 97709

541-312-3662

FOR INFORMATION CONTACT THE BUYER

Tara Lyle

(304) 558-2544

tara.l.lyle@wv.gov

Signature X _[signature]_   **FEIN #** 43-1797439   **DATE** 7/12/2018

All offers subject to all terms and conditions contained in this solicitation

Addendum No. 3 - Issued for the following -

1. To change the bid opening from 07/10/2018 to 07/13/2018. The bid opening remains at 1:30 pm.

2. Responses to vendor questions attached.

3. Revised pricing page attached.

INVOICE TO	SHIP TO
CFO	SUPPLY CLERK
SECRETARY OF STATE	SECRETARY OF STATE
BLDG 1 STE 157K	BLDG 1 STE 157K
1900 KANAWHA BLVD E	1900 KANAWHA BLVD E
CHARLESTON WV 25305-0770	CHARLESTON WV 25305-0770
US	US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	Enterprise Registration and Licensing System (ERLS)				

Comm Code	Manufacturer	Specification	Model #
81112300			

Extended Description :
Pricing Page-Exhibit A-provided under separate addendum

SCHEDULE OF EVENTS		

Line	Event	Event Date
1	Technical questions due by 4:00 pm	2018-06-20

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

General Requirements

4.1.   Mandatory Contract Item Requirements:

Contract Item must meet or exceed the mandatory requirements listed below.

4.1.1.   Enterprise Registration and Licensing System

4.1.1.1. In accordance with Schedules A and B attached, the ERLS should be capable of handling registration and/or licensing or needs relating to the following service areas:

4.1.1.1.1.   Marriage Celebrants (Minister Registry)

4.1.1.1.1.1. The system will be used to maintain a registry of those authorized by law to perform or celebrate a marriage in West Virginia. Within the system, an online user will be able to submit and pay for the Marriage Celebrant application online. The system will connect the online payment to the filing. An internal specialist may review the online submitted document, if required. Final documents will be available online and in-house. If a paper filing is received, the system will provide the ability to upload an image to represent the paper document, with data entry performed by an internal specialist. The system will provide the public and State with a data list of lawful marriage celebrants via the web.

> GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to submit a Marriage Celebrant application online. A self-service website will allow users to create an online account, log into the website and submit the required documentation and fees. GL Suite will connect the online payment to the filing. Where required, the online submission will be routed to an internal specialist to review. GL Suite will generate final documents for use both online and within the office. A workflow will also be configured for internal staff to process incoming paper applications, collecting the same requirements and fees, and will allow the paper application to be scanned and uploaded directly to the entity. GL Solutions will also specify and configure an online verification website to allow the public to view lawful marriage celebrants via the web.
>
> For more information on our self-service websites, see Supporting Document 1.

4.1.1.1.2.   Notaries Public

4.1.1.1.2.1. This system will be used for Notary Public Applications. The system will determine statutory compliance, with the assistance of a specialist only if needed. The system creates or alters the Notary Public Record on the NOTARY database based on the information contained therein. The system will connect the online payment to the filing. The system will notify the applicant of acceptance or rejection of the filing via electronic communication. If a paper filing is received, the system will provide the ability to upload an image to represent the paper document, with data entry performed by an internal specialist. The system will make documents for notary applications

available to the State. The system provides the public and State with access to Notary Public Records via the web.

> GL Suite will meet this requirement. GL Suite will determine, through the use of business rules, statutory compliance using pre-defined logic, only requiring the assistance of a specialist when needed. GL Suite will alter or create the Notary Public Record to be transmitted to the NOTARY database based on the information contained within the application. GL Suite will connect the online payment to the filing, and will automatically generate and send notifications to the applicant of acceptance or rejection of the filing via electronic communication. A workflow will also be configured for internal staff to process incoming paper applications, collecting the same requirements and fees, and will allow the paper application to be scanned and uploaded directly to the entity. A public verification website will also be designed to provide the public and State with access to Notary Public Records via the web.

4.1.1.1.3.   Athletic Agents

4.1.1.1.3.1. This system will be used to maintain a registry of those licensed to represent student-athletes. Within this system, an online user will be able to submit and pay for the Athletic Agent license application online. The system will connect the online payment to the filing. Final documents will be available online. If a paper filing is received, the system will provide the ability to upload an image to represent the paper document, with data entry performed by an internal specialist. The system will notify the applicant of acceptance or rejection of the filing via electronic communication. The online system will provide the public and State with a data list of licensed athletic agents via the web.

> GL Suite will meet this requirement. We will specify and configure GL Suite to maintain a registry of those licenses to represent student-athletes. The self-service website will allow users to submit the Athletic Agent license application, all required documents and information, and pay for the fees online. The website will allow the final documents to be available online. A workflow will also be configured for internal staff to process incoming paper applications, collecting the same requirements and fees, and will allow the paper application to be scanned and uploaded directly to the entity. GL Suite will automatically notify the applicant of acceptance or rejection of the application through electronic communication. The public verification website will provide the public and State with a list of licensed athletic agents.

4.1.1.1.4.   Private Investigators and Security Guards

4.1.1.1.4.1. This system will be used to maintain a registry of those licensed as private investigators and/or security guards in West Virginia. Within this system, an online user will be able to submit and pay for the Private Investigators and Security Guards license applications online. The system will

connect the online payment to the filing. The system will determine statutory compliance, with the assistance of a specialist if needed. Final documents will be available online. If a paper filing is received, the system will provide the ability to upload an image to represent the paper document, with data entry performed by an internal specialist.

The law requires a surety bond to be reviewed and approved by the Attorney General's Office. The bond is manually forwarded and returned to the Agency as accepted or rejected. The applicant also submits to fingerprinting during initial licensure by a 3rd party. The results of the background are reviewed through a secure portal by a specialist. The system will provide the ability to record that the external actions of the Attorney's General Office approval and fingerprinting have been met. The system will notify applicants of acceptance or rejection via electronic communication. The system will provide the public and State with a data list of licensed Private Investigators and Security Guards via the web.

> GL Suite will meet this requirement. We will specify and configure GL Suite to maintain a registry of those licensed as private investigators and security guards in West Virginia. We will configure the self-service website to allow users to submit and pay for the Private Investigators and Security Guards license applications online. GL Suite will automatically associate the online payment with the filing. A workflow will also be configured for internal staff to process incoming paper applications, collecting the same requirements and fees, and will allow the paper application to be scanned and uploaded directly to the entity. Business rules will be configured to determine the statutory compliance based on the information provided, requiring specialist assistance only if needed. GL Suite will provide a method to record the decision by the Attorney General, as well as the fingerprinting results, and will automatically generate notifications for the applicant upon rejection or approval of either entity.

4.1.1.1.5.   Trademarks and Service Marks

4.1.1.1.5.1. This system will be used to maintain Trademarks and Service Marks. Within this system, an online user will be able to submit and pay for the filing. The system will determine statutory compliance, with the assistance of a specialist only if needed. The system will capture the name of the trademark/service/collective or certification mark as registered, assign an ID number, and other statutorily required information. If a paper filing is received, the system will provide the ability to upload an image to represent the paper document, with data entry performed by an internal specialist. The system will notify applicants of acceptance or rejection via electronic communication. The system will provide the public and State with a data list of Trademarks and Service Marks via the web.

> GL Suite will meet this requirement. We will specify and configure GL Suite to maintain Trademarks and Service Marks. We will configure the self-service website to allow users to submit the filing and collect the required fees, associating the payments directly to the invoice on the entity record. Business rules will be configured to determine the statutory

compliance of the filing. A workflow will also be configured for internal staff to process incoming paper applications, collecting the same requirements and fees, and will allow the paper application to be scanned and uploaded directly to the entity. Business rules will be configured within GL Suite to capture the name of the trademark/service/collective or certification mark as registered, assign an ID number, and automate the fulfillment of any other statutory information where applicable. GL Suite will automatically generate an acceptance or rejection notice via electronic communication. The public verification website will provide the public and State with a list of Trademarks and Service Marks.

4.1.1.1.6.   Scrap Metal Dealers

4.1.1.1.6.1. This system will be used for Scrap Metal Dealers. Within this system, an online user will be able to submit and pay for the filing. The system will determine statutory compliance, with the assistance of a specialist only if needed. The system adds or alters the Scrap Metal Dealers registry based on the updated information. There is currently no payment to file with this registry. The system will acknowledge or reject the filing via electronic communication. If a paper filing is received, the system will provide the ability to upload an image to represent the paper document, with data entry performed by an internal specialist. The system will provide the public and State with access to the data list registry via the web.

GL Suite will meet this requirement. We will specify and configure the self-service website to allow users to submit the Scrap Metal Dealers filing online, as well as any required fees. Business rules will be configured to determine the statutory compliance of the filing. A workflow will also be configured for internal staff to process incoming paper applications, collecting the same requirements and fees, and will allow the paper application to be scanned and uploaded directly to the entity. GL Suite will alter or add the Scrap Metal Dealers registry based on the updated information. GL Suite will automatically generate acceptance or rejection notices via electronic communication. The public verification website will provide the public and State with a list of Scrap Metal Dealers online.

4.1.1.1.7.   Charitable Organizations

4.1.1.1.7.1. This system will be used for Charitable Organization registration. Within this system, an online user will be able to submit and pay for the filing. The system will determine statutory compliance, with the assistance of a specialist only if needed. The system will acknowledge, certify and/or reject the filing via electronic communication. If a paper filing is received, the system will provide the ability to upload an image to represent the paper document, with data entry performed by an internal specialist. The system will provide the public and State with access to the data list registry via the web.

GL Suite will meet this requirement. We will specify and configure the self-service website to allow users to submit the Charitable Organization registration filing online, as well as any

required fees. Business rules will be configured to determine the statutory compliance of the filing. A workflow will also be configured for internal staff to process incoming paper applications, collecting the same requirements and fees, and will allow the paper application to be scanned and uploaded directly to the entity. GL Suite will generate notifications upon the acceptance, certification, or rejection of the filing via electronic communication. The public verification website will provide the public and State with access to a list registry online.

4.1.1.1.8.   Apostilles

4.1.1.1.8.1. This system will be used for Apostille requests. Within this system, an online user will be able to submit and pay for the filing. The system will determine statutory compliance, with the assistance of a specialist only if needed. The system will certify and/or reject the request via electronic communication. If a paper filing is received, the system will provide the ability to upload an image to represent the paper document, with data entry performed by an internal specialist. The system will provide the public and State with access to the data list registry via the web.

> GL Suite will meet this requirement. We will specify and configure the self-service website to allow users to submit the Apostilles filing online, as well as any required fees. Business rules will be configured to determine the statutory compliance of the filing. A workflow will also be configured for internal staff to process incoming paper applications, collecting the same requirements and fees, and will allow the paper application to be scanned and uploaded directly to the entity. GL Suite will certify or reject the request via electronic communication. The verification website will provide the public and State with access to a list registry online.

4.1.1.1.9.   Public Records Request

4.1.1.1.9.1. This system will be used to comply with West Virginia FOIA law. It will provide the ability for online users to view and download publicly available records of the Agency. The system will provide the ability to issue a certificate to be attached to a filing, if any. The system will manage FOIA requests housed within the system. The system will manage the process for external web users to create a username and password with the assistance of a specialist only if needed.

> GL Suite will meet this requirement. We will specify and configure GL Suite to comply with West Virginia FOIA laws. We will configure the self-service website to allow users to view and download publicly available records of the Agency. GL Suite will provide the ability to issue a certificate to be attached to a filing, and to manage FOIA requests housed within the system. The website will also allow users to create a username and password.

4.1.1.1.9.2 Integrated into these service areas are to be the functions of certification, issuance, fiduciary, correspondence, authentication, authorization, security, inquiry and calendaring. The specific requirements for these integrations will be determined as part of the negotiation phase of this contract.

> GL Suite will meet these requirements, and the details will be determined once the specific requirements are negotiated and confirmed.

4.1.1.1.9.3 The priorities of the solution (which are not listed in order of importance) are:

4.1.1.1.9.4 An intuitive and quickly adopted solution that improves the lives of the citizens of the State.

> GL Suite meets this requirement. The core of the software system contains a simple and intuitive user interface designed to provide a user-friendly and easily understandable process for performing the daily duties of a regulatory agency. GL Suite will improve the lives of the citizens of the State by providing 24/7 access to online self-service options, increasing efficiency by automating many actions of the SOS, and simplifying each process with built in process guidance.

4.1.1.1.9.5 Meeting pending legislative requirements for various registries and licensing to be available online.

> GL Solutions meets this requirement. Our standard practices are to provide the public with 24/7 access to self-service websites for the various licensing needs of the SOS. Our self-service websites provide users with the ability to manage and update their information, submit applications or documentation, and provide the public with verification.
>
> For more information on our self-service websites, see Supporting Document 1.

4.1.1.1.9.6 A quick, verifiable implementation timeline.

> GL Solutions will meet this requirement. Implementation timelines vary from project to project depending in part on desired functionality, number of required interfaces, number of license types, etc. When we begin your project and acquire a more thorough understanding of what your system will entail, we will provide a detailed Work Plan itemizing project phases, project deliverables, dependencies, and resources. Based on the requirements within this CRFQ, we estimate the timeline to complete the installation of the GL Suite application to take 12 months.

4.1.1.1.9.7 Moving the administration of all registry and licensing areas under the jurisdiction of the Secretary of State's office to 100% online.

GL Suite meets this requirement. The core of the software system is a 100% online application, designed to be accessible over the web from any location.

4.1.1.1.9.8 Increasing efficiency, compliance and audit readiness for all registry and licensing areas under the jurisdiction of the Secretary of State's office.

GL Suite meets this requirement. The core of the software system is designed to increase efficiency and compliance, and assist with audit readiness. GL Suite increases agency efficiency through automation and process guidance. GL Suite supports audit readiness with data validation and our reporting tools and services.

4.1.1.1.9.9 Ease of scalability to quickly accommodate additional registry and licensing areas in the future.

GL Suite meets this requirement. The core of the software system is highly scalable and configurable. GL Suite was designed with scalability in mind, and our application supports both vertical and horizontal scaling options to ensure it can handle any workload and be configured to match requirements for additional registry and licensing areas as expanded in the future.

4.1.1.1.9.10 Decrease the workload on Secretary of State personnel and IT infrastructure.

GL Solutions meets this requirement. As many states choose GL Solutions to automate their systems, they reduce workload on both state administrative personnel, and IT infrastructure, as the system is well-supported by GL Solutions. Your agency will have access to GL Solutions' technical resources 24 hours a day, 7 days a week to request and track services, and to resolve critical issues. While GL Portal is available online to request and track work, our Emergency Support Team can be reached at any time via a toll-free telephone number. Our team of experts is experienced in providing support and will respond immediately to your call. GL Solutions does not outsource its customer support—all GL Solutions support is provided by full-time, in-house GL Solutions staff.

Enhancements and issues that are normal priority are handled effectively and efficiently as well. We furnish our clients with Client Expected Delivery dates, which we meet 97% of the time. We will also work with clients to prioritize the order in which they prefer tasks to be addressed. Overall, we make every effort to keep your tracking and response time to a minimum.

For ongoing support, you will be able to rely on our Agency Partners (AP), who will be available via both telephone and email. The sole concern of the Agency Partner is to provide your staff with timely interaction. The GL Solutions AP will be at hand to take action on and resolve issues as they arise, monitors issues, coordinates regular service release installations, and tracks client calendars to help them prepare for renewals and other critical processes. APs are dedicated to fulfilling your agency's goals and objectives and to ensuring GL Solutions helps you fulfill your mission.

4.1.1.1.10   The successful migration of valid and reliable data, which must be synchronized and reconciled from different databases. Most data is houses on a Microsoft SQL Server 2012. Most data is housed on the SQL server and a fileserver. The Agency will provide the successful Vendor reasonable access to a resource staff member to answer technical questions which will arise during development, as well as a schema in T-SQL for their use. The database type, storage format, count, and size for each of the above-mentioned services is as follows:

Registry/License	Storage Format	Entities	Size	Age	Notes
Notaries Public	SQL	1,234,551	3.0GB 29.3 GB Images on internal server		Integrates with our Apostilles application
Athletic Agents	SQL	121,935[1]	545 MB[11] 22GB on internal file server	6 Years	Integrates with our document authentication system (Document ID)m
Private Investigators and Security Guards	SQL	I	II	6Y.	III
Trademarks and Service Marks	SQL	19100	240MB	6 Y.	
Scrap Metal Dealers	SQL	1987	500MB	6Y.	Integrates with Business 4 West Virginia (WVI hosted web application)

			3.431 GB	8+Y. Deskto p; 6Y. on web	
Charitable Organizations	SQL	396733	291 GB on internal file server		
Marriage Celebrants	SQL	I	II	6Y.	III
Public Records Request	*NIA*	*NIA*	*NIA*	*NIA*	
Other*	SQL				

GL Solutions meets this requirement. Our standard practices are to provide a successful and valid migration of reliable data into a single database useable within GL Suite. Our extensive experience has driven us to develop a tried and true data conversion plan designed to provide a complete and accurate migration of data into the new GL Suite database. For more information on conversion, see Supporting Document XX.

4.1.1.1.11   Meeting the laws, rules, regulations, administrative codes, and processing and indexing requirements of the State of West Virginia and other agencies which rely on and utilize the Secretary of State's information.

GL Solutions will meet this requirement. We will collaborate with Agency staff to design the GL Suite application to meet the laws, rules, regulations, administrative codes, and processing and indexing requirements of the State of West Virginia and other agencies that rely on the data.

4.1.1.1.12   Security, sustainability, enhanced and predictable service availability, high-performance efficiency, and cost-effective workload flexibility

GL Suite meets these requirements. GL Suite provides agencies with secure, sustainable, enhanced, predictable service availability both through our application and our secure and reliable server hosting collocation center in Bend, Oregon.

GL Suite provides high-performance efficiency, and cost-effective workload flexibility through our automation and process guidance. GL Suite utilizes business rules to automate many functions within the application, providing agency staff with more time to focus on the work. GL Suite also utilizes built-in Process Guides, guides that are integrated directly into the application to take users through each step of a process. The Process Guide with ensure the user is moving with every required step of the process, highlighting the current step the user is on, and automatically opening the screen where the next step is to be

performed. The Process Guide will also automate actions such as appending an application, generating a report or sending an email.

For more information on our application and server security, see Supporting Document 10.

4.1.1.1.13 Operational costs and continued reliability and validity

GL Suite meets this requirement. All operational costs are addressed through the chosen ongoing support plan, including hosting. GL Solutions provides continued reliability and validity through regular core software updates, planned disaster recovery and backups and guaranteed uptime through our colocation center in Bend, Oregon.

4.1.1.1.14 Ability to establish and differentiate various authentication, processing and authorization levels

GL Suite meets this requirement. GL Suite utilizes role-based security to facilitate different authorization levels. Users will only be able to see and interact with data they have access to. Access is provided within any screen based on the user role, and can be set down to individual fields within a screen, limiting authorization to update or view data, delete objects, or execute a command.

GL Suite also provides various levels of authentication. For back office staff, GL Suite can utilize Active Directory controls to provide access to the software system. In addition, GL Suite can utilize two-factor authentication to authenticate a user. Users who enable two-factor authentication can receive a text message providing an authentication code to gain access, combined with a username and password.

4.1.1.1.15 Robust search and performance capabilities

GL Suite meets this requirement. GL Suite contains a variety of robust search functions and capabilities. GL Suite contains a main menu search screen that can be customized per the agency requirements to search for records. In addition, search queries can be pre-defined or generated using our ad-hoc reporting tool, GLS Report.

4.1.1.1.16 Ability to generate and regenerate general and specific and/or customized communications (i.e., correspondence, notices and certificates) in both electronic and non-electronic formats with appropriate date(s), signature(s), text, content, status, link(s) and image(s). Regenerated correspondence, notices and certificates must maintain the original date(s), signature(s), text, content, status, link(s) and image(s) as that of the original

GL Suite will meet this requirement. We will specify and configure GL Suite to generate and regenerate specific and customized communications in both electronic and non-electronic formats with the appropriate dates, signatures, text, content, status, links and images. Correspondences and notices that are generated are stored on the entity record, in the same condition they were saved in. This allows users to access these correspondences at any time, retaining all original information, without the need to regenerate them. Certificates can be regenerated from the license/application they are related to, and will retain the original information. These documents will be accessible to be sent electronically or printed.

For more information on our reporting tools and services, see Supporting Document 2.

4.1.1.1.17 Ability to calendar and/or schedule events and compute correct fee(s) according to filing type, status, and applicable statutory filing, processing and/or certification fee(s)

GL Suite will meet this requirement. We will specify and configure GL Suite to facilitate the scheduling of events and computation of the correct fees according to the filing type, status, and applicable statutory filing, processing and certification fees through the use of business rules. We will configure business rules specific to each filing type to determine the schedule of the filing milestones. In addition, invoices will be created specific to the various filing types and fee types required to support the filing. Where invoices may not contain set fees, business rules will be used to calculate the criteria to produce the correct fee.

4.1.1.1.18 Strong statistical reporting and ad hoc query capabilities (i.e. document type, status, date, time, processor, edits, etc.)

GL Suite meets this requirement. GL Suite contains powerful reporting tools capable of reporting on any data element within the software system. GL Suite also contains GLS Report, a user friendly ad-hoc reporting tool designed to allow users to create custom reports on any data element within the software system. For strong statistical reporting needs, GL Solutions has also integrated Microsoft Power BI services directly into the application. Microsoft Power BI provides rich visualizations of agency data, in interactive reports that allow users to drill down on any data element.

For more information on our reporting tools and services, see Supporting Document 2.

4.1.1.1.19 Documents stored in a single file, which can be indexed, accessed and associated with a specific record

GL Suite meets this requirement. The core of the software system is designed to store an uploaded document within a single file. All documents are stored directly with the objects they are associated to, such as an application. Metadata about the document can be entered into fields on a screen, such as document type, applicable dates, or other components. This ensures a simple and intuitive indexing mechanism that allows users to quickly find and retrieve the documents they need.

For more information on our document management, see Supporting Document 4.

4.1.1.1.20   Ability to accept, document and associate online payments utilizing credit cards through a third-party Vendor. Payment and filing association applications must also accept both single and/or multi- transactional filings and/or payment submissions.

GL Suite will meet this requirement. We will specify and configure GL Suite to accept, document and associate online payments utilizing a third party payment processor. All payments made within GL Suite are associated to the invoice they are paying. GL Suite can support single and multi-transactional filings and payment submissions. This includes single payments applying to multiple invoices, on multiple records, as well as partial payments.

For more information on our financial management, see Supporting Document 3.

4.1.1.1.21   The ability to maintain an audit log of all filings and/or processing activities, which includes any and all associated edits, corrections, adjustments, or redactions to filings and payments.

GL Suite meets this requirement. The core of the software system is designed to maintain an audit trail of every activity performed within the application. Every screen contains a History button, which tracks every update, the person who performed the update, a timestamp of the update, as well as the previous and new values of the update.

4.1.1.1.22   Ability to be successfully configured and deployed within an aggressive timeline

GL Solutions meets this requirement. Our standard practices are to configure and deploy GL Suite to agencies within an aggressive yet reasonable timeline. GL Solutions has extensive experience working with agencies to design and configure a tailored GL Suite application to serve the public. We estimate the completion of the implementation of GL Suite within a 12 month period. Both GL Solutions and agency resources can work in cooperation and adherence to defined response/review cycles to be defined early-on, in the management plan, to meet the timeline.

4.1.2   The Agency requires that the solution be hosted in a commercial cloud environment proven and used by other Secretary of States or similar organizations. Images shall be indexed and stored as either editable, compressed Tagged Image Formatted (.tif) or Portable Document Format (.pdf) files, which can be distributed via E-mail.

> GL Solutions' standard practices for agencies that wish to host with GL Solutions is to provide secure hosting with our collocation center in Bend, Oregon. Our collocation center is used to host the application of many similar State regulatory agencies in many states. For more information on our hosting services, see Supporting Document 5.

> GL Suite stores all documents uploaded within the software system in the original format they are uploaded in. GL Suite will store images in the .tif or .pdf formats, converted prior to being uploaded within GL Suite – typically saved in one of these formats at the point of scanning, within the scanner interface outside the scope of GL Suite.

> For more information on document management, see Supporting Document 4.

4.1.3   The solution must allow the Agency to continue to operate and successfully perform the activities required by state and federal law, rules, regulation and/or policy.

> GL Suite will meet this requirement. We will specify and configure the software system to support the SOS to continue to operate and successfully perform the activities required by state and federal law, rules, regulation and/or policy.

Process Requirements

Create licensing or registry:

- Provide external users with online filing options for various types of licensing/registry area and structure (e.g. Charities, Apostilles, Scrap Metal Dealers)

    GL Solutions will meet this requirement. We will specify and configure websites to provide external users with the ability to submit online filings for various types of licensing/registry areas and structures 24 hours a day, 7 days a week. Our self-service websites will provide external users with secure login methods to view and update their contact information, submit online filings and renewals, check the status of the filings and renewals, and request additional copies of certifications and licenses.

    For more information on our self-service websites, see Supporting Document 1.

- Ability for internal staff to manually create license/registration in the system by uploading a filing image of a paper document, which was scanned outside of the system.

    GL Suite meets this requirement. We will specify and configure GL Suite to allow internal staff to upload license/registration documents that are scanned outside of the software system to manually create licenses/registrations. GL Suite contains built-in document management that allows documents to be uploaded directly to a record. Any document type can be uploaded to a record, and can be associated with a specific entity, a license or application, and more.

    For more information on Document Management, see Supporting Document 4.

- Ability for internal staff to reject submitted applications/documents

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow internal staff with the appropriate permissions the ability to reject submitted applications and documents. Business process workflows will contain steps that include review of the application/document where applicable, and will have the ability to adjust the status to "Rejected". Upon rejection of an application or document, GL Suite will automatically generate any notices or letters to email the applicant to inform them of

the rejection, along with any additional follow-up steps. This is handled by an application deficiency letter, generated from the system.

- Provide external users with the ability to file/process authentications, licenses, registration and other services

    GL Solutions will meet this requirement. We will specify and configure a self-service website to allow users the ability to file/process authentications, licenses, registrations, and other services. GL Solutions regularly creates websites for agencies to assist with the online submission of requirements for licensure and other services. Our websites provide a streamlined and intuitive flow, capturing each requirement in an individual page. Users can access our websites 24 hours a day, 7 days a week

    For more information on our websites, see Supporting Document 1.

- Provide external users the ability to file modifications online

    GL Solutions will meet this requirement. We will specify and configure a self-service website to provide the ability for external users to file modifications online. We will create a web process to allow users to submit modifications for their license/registration, creating pages to meet each requirement of the modification process

    For more information on our self-service website, see Supporting Document 1.
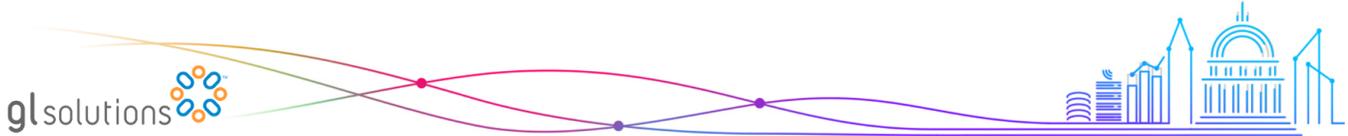
Modify licensing or registry:

- Ability for external user to manage/change information

    GL Solutions will meet this requirement. We will specify and configure a self-service website to allow users to update and manage their information. Our websites frequently provide users with the ability to manage information, such as updating contact information.

    For more information on our self-service website, see Supporting Document 1.

- Ability for external user to submit a request to renew, reinstate or withdraw an application

GL Solutions will meet this requirement. We will specify and configure websites to provide processes for the renewal, reinstatement or withdrawal of an application. A web process will be configured for each license type for renewals to ensure the appropriate requirements are fulfilled. In addition, web processes will be designed and configured to facilitate the reinstatement or withdrawal of an application.

- Ability to request a certificate of status or additional copies of a certificate of status

    GL Solutions will meet this requirement. We will design a process for users to request additional copies of a certificate of status. This process will facilitate users submitting requests online, and through additional methods if required. This process will contain any requirements, such as fees or documents, before the approval. All certificates and licenses generated by GL Suite will be accessible for future use to produce copies.

- Ability to request and obtain a certified copy of a filed document

    GL Solutions will meet this requirement. We will specify and configure a web process to allow users to request and obtain a certified copy of a filed document. The web process will be available on the self-service website, and will collect all documents and fees required to obtain the copy of the filed document. Upon the completion of the web process, users will be presented the document to print directly from the screen.

    For more information on our self-service websites, see Supporting Document 1.

- Ability to upload attachments with online filings

    GL Solutions meets this requirement. We will specify and configure web processes to allow users to upload attachments with their online filings. Each web process will collect all required information, including documentation, and allow users to upload attachments of any kind that are required to complete the process.

    For more information on our document management, see Supporting Document 4.

Fiscal processing:

- Ability to accept credit card payments

    GL Suite meets this requirement. The core of the software system is designed to interface with most third party payment processors to facilitate the acceptance of

payments. GL Solutions has extensive experience creating data exchange interfaces to transmit payment data without actually storing the payment data within the software system. Adhering to IT security standards such as NIST-800-53 and HIPAA, our interfaces provide a safe method of accepting credit card payments.

For more information on our payment processing, see Supporting Document 3.

- Ability to associate a payment to an entity for online and manual filings

  GL Suite meets this requirement. The core of the software system is designed to associate payments directly to the entity where the invoice is paid. GL Suite generates invoices for all fees and payments within the software system. Invoices are generated directly on the record, and are associated to the item or service they are related to, such as an application. When an invoice is paid, whether it be an online payment or an in-office payment, the payment is created directly on the invoice and automatically associated with the entity. This ensures both online and manual payments are automatically filed without additional intervention.

  For more information on our payment processing, see Supporting Document 3.

- Provide audit tracking for all financial processing associated to an entity

  GL Solutions will meet this requirement. We will specify and configure audit tracking capabilities for all financial processing associated to an entity. We will configure reports to provide the required audit information in relation to an entity's financial processing history. Reports can include a date range to capture data within a specified time frame, or be configured to capture data within a pre-defined time period.

  For more information on our reporting, see Supporting Document 1.

- Ability to search, review and modify payment information associated to an entity

  GL Suite will meet this requirement. We will specify and configure GL Suite to allow staff with the appropriate permissions to search, review and modify payment information associated to an entity. Users with the appropriate permissions will have the ability to adjust invoice amounts, payment amounts, or delete payments on an entity. Payments will be visible on any entity with the appropriate view permissions, providing details such as the payment type, the date of the payment, and the staff who created the payment (or if it was paid online).
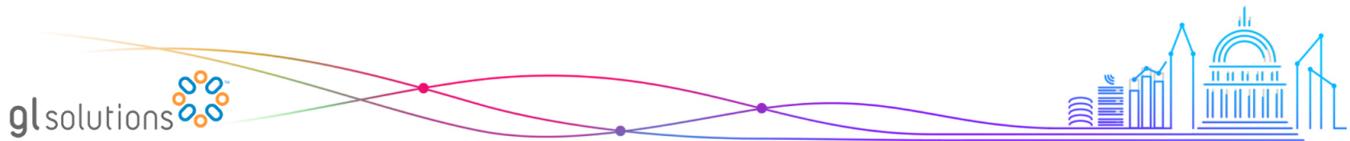
For more information on our payment processing, see Supporting Document 3.

- Ability to process refunds and reconcile payments received

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow users with the appropriate permissions the ability to process refunds and reconcile payments received. Refunds and adjustments are simply additional payment objects designed to reverse or adjust the amount of an invoice, and will be tracked as such in any audit requests. Payment reconciliation will be provided through a reconciliation report, allowing staff to track financial activities.

    For more information on our payment processing and reconciliation, see Supporting Document 3.

Scanning/imaging paper documents:

- Ability to upload documents which were scanned outside of the system, and associate them to an entity

    GL Suite meets this requirement. The core of the software system provides the ability for users to upload documents of any type to an entity. Documents are automatically associated to the entity they are uploaded to, and can be access by viewing the entity. They are filed within the relevant objects within the application, such as the related application or license.

    For more information on document management, see Supporting Document 4.

Correspondence:

- Ability to generate and access specific correspondence templates

    GL Suite meets this requirement. The core of the software system contains the ability to generate correspondences. GL Suite can assist your agency with its administration by automatically creating and executing various correspondences.

    GL Suite provides the following capabilities:
    - Generate letters and notifications
    - Generate correspondences as emails or paper based
    - Send batches of correspondence

- Generate a notice to licensees that a license cannot be renewed, etc.
- Produce and store notices, subpoenas, and other documents merged with application data

Correspondences dynamically display data in real time. GL Suite utilizes a parallel database system for speed and accuracy in report and correspondence generation. Our transactional database maintains all relational data and a parallel report database is maintained in real-time for any reporting needs. Our robust security allows agencies to restrict report access. This ensures that only appropriate users have access to sensitive information.

Correspondences are maintained directly on the record after being sent. This allows staff with the appropriate permissions to view any correspondence that has previously been sent.

For more information on our reporting and outputs, see Supporting Document 2.

- Ability to generate correspondence utilizing approved templates

  GL Suite meets this requirement. The core of the software system utilizes approved templates to generate a correspondence. Each correspondence will be designed as a template, populating pre-defined fields with data from the entity record. Each design will be approved by the WVSOS prior to configuration.

  For more information on our reporting and outputs, see Supporting Document 2.

- Ability to generate and send a single correspondence and generate and send mass correspondence to specific users (both internal and external)

  GL Suite meets this requirement. The core of the software system allows correspondences to be generated and printed one by one, from individual records or in batch mode. Using the batch mode users can run a command to find all records meeting predetermined criteria and append a customized correspondence to each identified record.

  For more information on our reporting and outputs, see Supporting Document 2.

- Ability to log and retrieve all correspondence sent to users regarding their business entity

GL Suite meets this requirement. The core of the software system saves every correspondence created on the entity record. The correspondence includes a time stamp that indicates the date and time it was sent. Users with the appropriate permissions will have the capability of viewing these correspondences directly from the entity record.

For more information on our reporting and outputs, see Supporting Document 2.

- Ability to provide filing acknowledgements by email regardless of submission method

GL Solutions will meet this requirement. We will specify and configure emails acknowledging the submitted filing for both online and paper submissions. Emails will be configured to automatically be sent upon the completion of submitting information for a filing through the use of business rules. Business rules will also be created to automatically send upon the completion of filing a paper application, as well as the acceptance or rejection of the filing.

Reporting:

- Ability to design and run ad hoc, batch, monthly and annual reports for all historical and current data held in the system

GL Suite meets this requirement. The core of the software system includes GLS Report, our ad-hoc reporting tool. GLS Report provides a simple, intuitive interface to allow users to create custom reports on any data element within the software system. Reports will generate on-screen results, with the capability to export the results to Microsoft Excel or PDF. Report templates can also be saved for later use, allowing custom reports to be re-used.

For more information on our reporting and outputs, see Supporting Document 2.

- Ability to log and retrieve all reports generated in the system

GL Suite does not meet this requirement. GL Suite does not log or save generated reports within the software system. However, all reports are generated in Microsoft Word, allowing users to manually save the results. In addition, reports can be re-run from the specified location or date range and produce the same results, so long as the data remains the same.
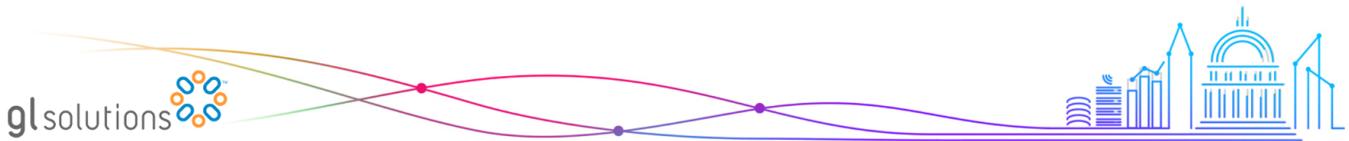
For more information on our reporting tools and services, see Supporting Document 2.

- Create and run specific reports for pertinent staff and functional areas (e.g. fiscal reports, administrative reports etc.)

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to run specific reports related to their job functions. Most reports will be accessible from the main screen dashboard of GL Suite, while some reports may be run from the staff record. Reports are only available to those with the appropriate permissions to run them, ensuring they are limited to their functional areas.

    For more information on our reporting tools and services, see Supporting Document 2.

- Provide a user dashboard to enable staff to access reports based on user access and permissions

    GL Solutions will meet this requirement. We will specify and configure reports to be included on the main screen dashboard that will only be visible to users who have the appropriate permissions to run the reports. GL Suite role based security allows access to any element of the software system to be granted and restricted due to the group role the user is in. This allows the main screen dashboard to be tailored to the user role, presenting only the options the role has access to.

Task management:

- Provide a dashboard for Administrators to organize and assign work assignments for staff

    GL Solutions will meet this requirement. We will specify and configure dashboards for Administrators to organize and assign work assignments for staff. GL Suite provides dashboard functionality that will alert staff of deadlines and assigned tasks. Each staff member can have a dashboard that appears on his or her screen upon log in. Dashboards can be assigned to a user, position type, and/or group. Tasks can be color-coded to inform users instantly of their status (e.g. currently due, past due, no due date). Moreover, records, individuals, tasks, and cases listed in the dashboard are hyperlinked directly to an associated record.

    An Administrator dashboard will be created to allow Administrators the ability to organize and assign work assignments for staff. The dashboard will be configured to display work assignments for the Administrator to assign. Assignments can be filtered in the dashboard, and the results can be exported to Excel.

- Ability to create a workflow queue with work assignments based on current functional areas

    GL Solutions will meet this requirement. We will specify and configure dashboards to provide a workflow queue with work assignments based on the current functional areas of the staff member. Each staff member can be assigned their own dashboard, designed to display work assigned either to the particular staff or the staff role. Work assignments will be displayed in chronological order, to ensure the work is performed in order.

- Ability to assign work assignments to specific staff

    GL Solutions will meet this requirement. We will specify and configure work assignments with the ability to assign specific staff. Users with the appropriate permissions will have the capability to assign work directly to specific staff. Work that is assigned to specific staff members will be displayed in their dashboard.

- Ability for staff to manage, sort and route tasks

    GL Solutions will meet this requirement. We will specify and configure GL Suite to allow staff to manage, sort and route tasks. GL Suite assists with the routing of work through the use of business rules. Business rules can be configured to automatically route tasks to the next step in a process. In addition, tasks will be configured to allow staff with the appropriate permission to be routed to specific employees or user groups.

- Ability for staff and administrators to modify work assignments during any phase of the workflow lifecycle

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow staff and administrators with the appropriate permissions to modify work assignments during any phase of the workflow cycle. Staff and administrators will be able to view assigned work and change the staff members assigned to the work. Staff assignments are usually determined through a drop-down menu, which dynamically lists the names of all staff within a specific user group. Staff and administrators will simply need to adjust this staff member within the list to the desired staff they wish to reassign the work.

User accounts and permissions:

- Ability to create, update and manage user roles and permissions for both internal and external users

    GL Suite meets this requirement. GL Suite provides role-based security, allowing any level of granularity in system security. Either your agency or GL Solutions can configure a User Group for each staff role, and set up unique and flexible security for each. You decide which groups can create, view, edit, and/or delete everything, including each screen, field, case type, calendar view, business rule, document, report, and much more. Every screen and every field can contain custom security settings, allowing complete control over who can access, create, view or modify any existing data within the software system.

    For more information on GL Suite security, see Supporting Document 10.

- Ability to control access to sections of the system according to defined permissions and roles

    GL Suite meets this requirement. The core of the software system allows any screen, field, report, or command to contain its own custom security settings. Each staff is assigned to one or more roles, and each role contains its own security group. Each screen and field can be configured for view, update and delete access, controlling access to view and update data on any level.

    For more information about GL Suite security, see Supporting Document 10.

- Ability to differentiate between internal and external users

    GL Solutions will meet this requirement. We will provide access to the software system for internal users to the GL Suite application. For activities that require external users to submit documentation, applications for registration/licensure, or update information, an external self-service website will be designed and configured. This website will allow external

- Ability to display access to specific pages and information about business entities and structures to public without a user login

    GL Solutions will meet this requirement. We will specify and configure public websites designed to allow public access to specific information about business entities and structures. The general public will be able to use a verification website to look up and view information online to verify licensee information the WVSOS wishes to share from

the GL Suite system. Based on the determination of the agency, only data and/or documentation specified to be "public" will be shown on this verification system. The verification website can display any element of data specified to be shared with the public. The website will allow the public access to real-time information about license status and enables the public to search for records based on status, location, license duration, etc. GL Suite's security ensures that all public information is available online, but all non-public data will only be available to WVSOS staff with appropriate security permissions.

See Supporting Document 1 for more information on GL Suite websites.

System processing:

- Ability to integrate and migrate data from existing systems

  GL Solutions meets this requirement. We will develop a comprehensive transition plan showing the major activities and estimated timelines, tasks, and subtasks necessary to transition to an operational system.

  At a high level, GL Solutions collects a copy of your data early in the implementation, studies it, and iterates with you to determine the structure required to support your business processes, and to convert that data into GL Suite. GL Solutions will test the conversion and will then ask you to test to confirm your data exists where you expect it. Once conversion defects are resolved, we will be ready to use the same conversion scripts with the WVSOS' final data set. Please see below for detail on the conversion process.

  For more information on our data conversion process, see Supporting Document 6.

- Ability to import data from other data sources (e.g. FTP; code tables etc.)
- Ability to download data files from the system

  In response to the two requirements above, GL Suite will meet these requirement. We will specify and configure third party interfaces to address data exchanges from other sources. We have extensive experience creating third party interfaces to exchange data one-way or two ways with various third parties. GL Suite can interface with many different system types, including payment processors, geographical information systems, and more.

  For more information on third party interfaces, see Supporting Document 7.
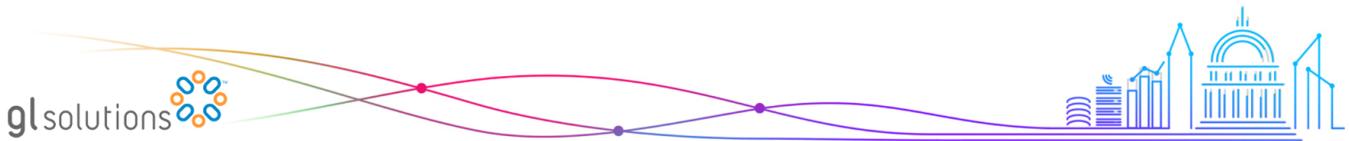
- Ability to update system pages and functionality when federal or legislative changes are received (e.g. biennial report filing)

    GL Suite meets this requirement. GL Solutions' licensing software, GL Suite, is unique in that it consists of a core system and related web-based interfaces (maintained by GL Solutions) and a modifiable Control Panel that allows on-the-fly customization of every screen and field by authorized users. Both developers and clients can easily modify the Control Panel to address business process changes and new legislative requirements.

    All GL Solutions programming code (base core code for your system and web software code) is managed through code versioning software, Visual Source Safe. Visual Source Safe requires code to be checked out/in, which ensures that only one person can modify the code at any given time. When checking the code in, the Developer must enter the reason/s for the changes in a "Comments" field. As part of the software release process, GL Solutions Quality Assurance team verifies that all expected updates are contained in the release.

    Since the Control Panel allows immediate update by both clients and developers, no formal method of configuration change management is available. This makes it imperative that only knowledgeable users be given authority to make changes to the system. Internally, at GL Solutions, any changes made to the configurable screens or business rules are documented through an update of the Business Specifications document, and are tracked through the software development process in the task management system

Attachment B

Functional Requirements

Inquiry/searches:

- The system is to have the ability to search Marriage Celebrant name, address and other details

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to search for records by searching their name, address and other details specified during the design of the software system.

- The system is to have the ability to search for Notaries Public by Name, Notary ID, and

Commission Number

> GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to search for Notaries Public by name, notary ID, and commission number.

- The system is to have the ability to search for Athletic Agents by full business name, full business name, concatenated name, date of initial filing, Last Name of Officer, Last Name of Registered Agent, Zip code, Address, Document Number, Entity Type, effective date, and other details

> GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to search for records by business name, date of initial filing, and other specified information.

- The system is to have the ability to search Private Investigator and/or Security Guard licensee by responsible agent, firm name, City or County of service, and other details

> GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to search for Private Investigator and/or Security Guard licensee by responsible agent, firm name, City or County of service, and other.

- The system is to have the ability to search trademark, service, collective or certification marks by name, registry, ID number and other statutorily required information

> GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to search trademark, service, collective or certification marks by name, registry, ID number and other statutorily required information. For

- The system is to have the ability to search for Scrap Metal Dealers by Name, Number, City or County of service

> GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to search for Scrap Metal Dealers by Name, Number, City or County of service.

- The system is to have the ability to search Charitable Organization by name, concatenated name, Doing Business As (DBA) name, Last Name of Registered Agent, Registration, zip code, address, effective date, and other details

GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to search Charitable Organizations by name, DBA name, Last Name of Registered Agent, Registration, zip code, address, effective date, and other details. Search methods for Last Name of Registered Agent, effective date, and other details will be facilitated through the use of a query.

- The system will disallow the filing of two entities with the same name matched on any of the matching criteria in accordance with statutory laws/rules

- The system will provide ability to conduct name searches that are not case specific

    GL Suite meets this requirement. The core of the software system allows users to conduct name searches that are not case specific.

- The system must provide ability to inquire by business name, Officers, Registered Agents, Document Number, and other details

- The system shall provide ability to perform special searches, such as, "Check Name Distinguishability" which allow consumer and Agency users to search for and test the uniqueness of an entity name against Agency records, and searches by names of individuals, for example, registered agent officer and director.

    GL Suite will meet this requirement. We will specify and configure specialized search queries for instances where special searchers are required. In addition, GLS Report, our ad-hoc reporting tool, will allow users with the appropriate permissions to design their own special queries and reports.

- The system must provide ability to restrict certain filings from public display as required by law

    GL Suite will meet this requirement. We will specify and configure public verification websites to only display information determined to be public information. Websites only display the information specified to be displayed. During the design of the websites, we will specify the public websites to only display information deemed non-restricted. For instances where data types can be either restricted or non-restricted, we

will specify check boxes to indicate when it is restricted, and the website will contain logic to only display non-restricted information.

For more information on our self-service websites, see Supporting Document 1.

- Provide to be able to search by Notary ID, Commission Number or Name and display entire the record.

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to search by Notary ID, Commission Number or Name and display the record.

- The system will allow for the parsing and concatenating of names to include the removal of spaces, definite and indefinite articles, and special characters and searching on both the entered name and parsed/concatenated name.

- The search option within the system will allow for "is", "begins with", and "contains" searches

    GL Suite meets this requirement. The core of the software system provides search functionality with the ability to filter each individual field. The filter options provided within our search functionality include "Contains", "Doesn't Contain", "Starts With", "Ends With", and "Equals". These filters can be applied to any of the search results, including the entity name, file number, address, city, state, and any additional customized search fields. Filtered results can have additional filters applied to further narrow down results, and all filters can be removed by selecting the "No Filter" option.

Licensing and registry:

- The system will provide the ability for users to submit new applications, subsequent filing requests, and updates using online forms, mail or counter intake.

  GL Solutions will meet this requirement. We will specify and configure business processes to accommodate the intake of new applications, subsequent filing requests, and updates using online forms, mail or counter intake. We will design websites to allow users to submit and manage their requests online at any time of the day, all throughout the year. We will also design back-office workflows to accommodate staff entering the request data into the software system when received by mail or counter intake.

- System workflow processing will be configured in the system to accommodate West Virginia-specific forms, fields, and rules to comply with West Virginia statutes.

  GL Suite will meet this requirement. We will specify and configure business process workflows to accommodate West Virginia specific forms, fields, and rules to comply with West Virginia statutes. Required forms, fields and rules will be embedded within relevant business processes during the design of the processes to ensure the collection of required data.

- The system shall provide the ability for public users to review their screens before submission

  GL Solutions will meet this requirement. We will specify and configure websites to contain a confirmation page at the end of the workflow. Confirmation pages will provide users the ability to review all submitted information prior to the submission. Each set of information will include an Update link, allowing the user to make any updates or corrections to the information and immediately return to the Confirmation Page. Once the user confirms all data is accurate, the data will be submitted to the WVSOS.

- The system must provide external users with online filing options for various types of service areas (e.g. Notaries, Scrap Metal Dealers, Charities etc.)

  GL Solutions will meet this requirement. We will specify and configure web workflows for each of the online filing options for each service area. Upon logging into the website, external users will be shown a dashboard. The dashboard is the central point of the

website, allowing users to view information about previously filed applications, contact information, or any important messages or notifications. The dashboard will also allow external users with filing options for the various service areas. Selecting one of the options will begin the workflow to submit that particular application/filing.

- The system must provide ability for internal staff to manually receipt paper filings in the system, by uploading a scanned image

    GL Solutions will meet this requirement. We will specify and configure printable receipts for the purpose of paper filings in the software system. Receipts will be configured as reports, and will be capable of being run against payments so copies can be produced as needed.

- The system must provide ability for internal staff to reject submitted filings

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow internal staff to reject submitted filings. Submitted filings will contain a variety of statuses that indicate how far along the process they are, and determine the current status of the filing. This includes statuses such as Received, Approved, Insufficient Documentation, and Rejected. Business process workflows will be designed with a step to review the filings, and provide an option for the staff member to reject the filing.

- The system must provide ability to display application status to external users via user login credentials

    GL Solutions will meet this requirement. We will design self-service websites to display information related to submitted filings. The dashboard will contain information such as the status of a filing, and will only be accessible to users who log in with their login credentials.

- The system shall provide ability to identify registration filings that should or must be marked for review by internal staff

    GL Solutions will meet this requirement. We will specify and configure GL Suite to allow users to identify registration filings and marking them for review by internal staff. Filings will contain a checkbox that indicates whether the filing requires internal staff review, which will allow them to be identified to include in a dashboard to ensure visibility to the staff responsible for reviewing the filings.

- The system must provide external users with the ability to file modifications online,

including initial application or renewals

> GL Solutions will meet this requirement. We will specify and configure public self-service websites that will allow external users to file modifications, including initial applications and renewals, online. The websites will allow users to securely log in to manage and update their information, submit applications and renewals, and review the status of these submitted filings online. The websites will allow users to submit any required documents or information for the filing, and will collect any required fees.

- The system shall provide ability to verify that the entity type is correct for the entity filing requested.

> GL Suite will meet this requirement. We will specify and configure GL Suite to only allow the correct entities to contain specific filing types. Filing types within the backend of the software system will only be available on the entities they are allowed, and the website will only provide the option for filing types compatible with the entity.

- The system must provide a method to determine and identify duplicate filings and not allow the filing of a duplicate name

> GL Suite will meet this requirement. We will specify and configure GL Suite to validate record creation to ensure duplicate filings are not created within the software system. We will configure business rules to identify and prevent the creation of duplicate records. Entity records are often assigned a unique identifier, such as a social security number. This greatly reduces the number of duplicate entities created.

- The system must provide a way to verify data entered on a form to make sure it is accurate for the type selected

> GL Suite meets this requirement. The core of the software system provides a variety of properties (fields) on a screen that can only accept data in specific formats. For example, date properties will only accept numerical entries in a date format, integer properties will only accept numerical inputs, and text 25 properties will accept any format of input (text, numbers) with a limit of 25 characters. Attempting to save data within these properties that are in an incompatible format will result in the data not being saved with an error message presented explaining the reason why the data was not saved.

- The system must provide ability to require specific information for a registered agent is entered during the time of filing

GL Suite will meet this requirement. GL Suite ensures data integrity both by system design and by rule configuration. GL Suite's database structure is static—neither GL Solutions nor our clients modify core database tables. This fact in itself assures high-level data integrity.

Data integrity is also maintained during data entry. Data validation and error detection are regular GL Suite capabilities and are available on both the public-facing web interface and the back-office interface. For one, whenever feasible, we can create dropdown menus with pre-selected text for users to select. This ensures that data entered is appropriate and correctly inputted from the beginning. Additionally, GL Suite has a standard set of verification rules, such as for phone numbers, dates, and Social Security numbers. The system prevents invalid data entries, such as entering an invalid date in a Date field, by various means. First, we designed GL Suite's core code to prevent users from entering and saving invalid dates to the database. Second, we have configured rules that reformat dates entered in diverse formats to be consistent. If the date entered is invalid, the system will prompt the user with an alert and prevent the data from entering the database. This is important because it allows for consistent and accurate data mining/reporting.

GL Suite can ensure that the inputted city and state match the zip code and that addresses entered are only from a particular state. We can configure every property to be either required or optional, and each can have its own set of validation rules. At each step, users can be restricted from continuing if information is missing or improperly entered. We can create any sort of verification rules necessary for your system's efficiency and accuracy.

GL Suite can also be configured to return a variety of messages to assist users when data entered is incomplete or incorrect. GL Suite validates that data has been entered correctly upon Save. If data is entered incorrectly or insufficiently, upon Save GL Suite will present prompts according to business rules logic. For example, if business rules require that a staff member be assigned to each application and a staff member is not assigned, GL Suite will notify the user.

- The system must track when a filing has been rejected

    GL Suite will meet this requirement. We will specify and configure a report within the software system to provide tracking of rejected filings. In addition, users will be able to use our ad-hoc reporting tool, GLS Report, to create custom queries to track rejected filings of any type.
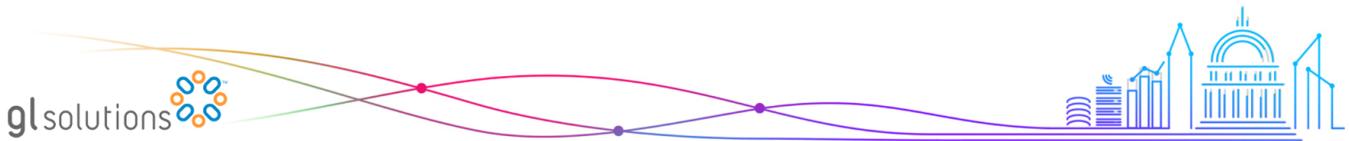
For more information on our reporting tools and services, see Supporting Document 2.

- The system must provide ability to file a renewal for all licenses and registrations online

    GL Solutions will meet this requirement. We will specify and configure websites to provide external users the ability to file a renewal for all licenses and registrations online. Online web flows will contain similar steps to the application processes, collecting the required data and fees to renew the license/registration.

    For more information on our websites, see Supporting Document 1.

- The system must provide ability to manage/change existing information (e.g. address updates etc.)

    GL Solutions will meet this requirement. We will specify and configure websites to allow users to update their existing information. We will design the dashboard to allow users to update information, such as their address, phone number, and more. Users will be able to view their existing information and make updates as necessary. GL Suite will retain historical information such as the old address or phone number for internal use.

    For more information on our websites, see Supporting Document 1.

- The system must provide ability for external users to submit an online request to amend or reinstate a license/registration

    GL Solutions will meet this requirement. We will specify and configure online work flows to allow users to submit a request to amend or reinstate a license or registration. The online workflow will collect all documents, information and fees required to complete the amendment or reinstatement of a license/registration, and will only be visible to users who have a license/registration that is eligible for amendment or reinstatement. For example, users who do not have a current active license/registration will not see the links to submit a license amendment.

- The system must provide ability to request and retrieve a certificate of status or additional copies of a certificate of status online

    GL Solutions will meet this requirement. We will specify and configure an online workflow to allow users to submit requests to retrieve a certificate of status or additional copies of the certificate online. We will design the website to collect any

required fees or documentation, and allow the certificate to be printable directly from the website or sent through mail/email once the requirements are met.

For more information on our self-service websites, see Supporting Document 1.

- The system must provide ability to request and obtain a certified copy of a filed document online

    GL Solutions will meet this requirement. We will design a web process to allow users to request and obtain a certified copy of a filed document. The web process will collect all required information and fees, and will provide the document in a printable format.

    For more information on our self-service websites, see Supporting Document 1.

- The system must provide ability to upload attachments when submitting an online filing.

    GL Suite will meet this requirement. We will specify and configure the web processes to allow users to upload attachments when submitting an online filing. GL Suite facilitates users uploading documents of any type. Web pages within a filing process will contain a document upload page, detailing the required information and providing a document upload button. Users will be able to review the submitted document before proceeding to the next page. Document upload pages can contain multiple fields for uploading documents, or allow users the ability to add another document if needed.

- The system must provide ability to modify a registered agent and/or registered office on multiple licenses/registrations simultaneously.

    GL Solutions will meet this requirement. We will design an online workflow for users to modify a registered agent and/or office. The online workflow will allow logged in users to select multiple licenses/registrations, and provide the ability to update the registered agent or office for each selected license simultaneously. The online workflow will collect all documents, information and fees required to submit the modifications.

- The system must provide ability to update or alter any event or filings under a fictitious name without modifying the history

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow staff with the appropriate permissions the ability to update or alter events or filings under a fictitious name while retaining historical information. The process to facilitate the

modification of events or filings will retain historical information previous to the modification.

- If processing a business or firm license/registry, the system must provide ability to determine if the business is active or non-active in the state of West Virginia while processing

  GL Suite will meet this requirement. We will specify and configure business entities with a field that will indicate whether the business is active or non-active in the state of West Virginia. This information will be requested during online registration processes, as well as during license/registration applications.

- The system must provide ability to generate an acknowledgement correspondence to send the user information about their application and any certified copy requests

  GL Suite will meet this requirement. We will specify and configure acknowledgement correspondences to send users information regarding their application and any certified document requests. Correspondences will be configured to be automatically generated and sent upon reaching key stages in the business process, such as the receipt of an application/filing documentation, the approval of a license, or a certified copy request.

  For more information on our reporting capabilities, see Supporting Document 2.

Financial:

- The system will allow for the acceptance of payments by major credit cards and interface with current third party vendor

  GL Suite will meet this requirement. We will specify and configure GL Suite to interface with the payment processor used by the WVSOS. GL Suite will integrate with most third-party payment processors. GL Suite retains credit card confirmation number responses from the payment processor but does not store credit card numbers. Your third-party payment processor will handle all of your payment processing.

  For more information on our financial management capabilities, see Supporting Document 3.

- The system will allow for online payments by credit card accounts

  GL Suite will meet this requirement. We will design websites to allow users to submit credit card payments online, through the third party payment processor utilized by the
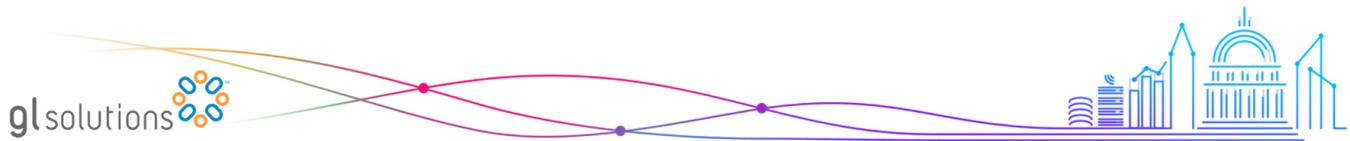
WVSOS. Payments made online are automatically associated with the invoice they are related to, directly on the entity record who made the payment.

For more information on our financial management capabilities, see Supporting Document 3.

- The system will provide ability to create a fiscal record for every payment received and create an audit trail

    GL Suite meets this requirement. The core of the software system is designed to create a payment object for every payment received. Each payment contains information related to the payment, such as the payment ID number, the payment method, the payment amount, the timestamp of the payment, and the invoices the payment was applied to. Each payment is associated with every invoice to which it is applied.

    For more information on our financial management capabilities, see Supporting Document 3.

- The system will provide ability to associate one payment to multiple documents received

    GL Suite meets this requirement. The core of the software system is designed to allow a single payment to be associated to multiple invoices. GL Suite contains an add to cart and checkout feature that will allow a single payment to be applied to multiple invoices. Several invoices from multiple records or the same record can be added to the cart at once. Once the payment has been made, GL Suite will connect that payment the invoices it applies to, retaining payment information such as the payment type, payment amount, and invoice number.

    For more information on our financial management capabilities, see Supporting Document 3.

- The system will provide ability to associate multiple payments to one or more documents received

    GL Suite meets this requirement. The core of the software system is designed to allow multiple payments to be applied to one or more documents. Payments can be applied partially, and in turn GL Suite allows multiple payments to be associated to a single invoice.
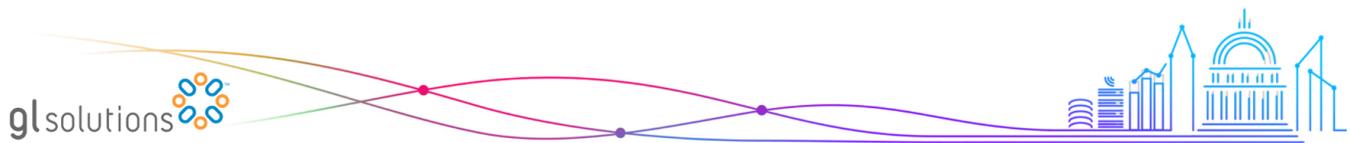
For more information on our financial management capabilities, see Supporting Document 3.

- The system will provide ability to integrate with a third party software vendor for credit card processing

    GL Suite will meet this requirement. We will specify and configure an interface to facilitate credit card processing with a third party payment processor. GL Solutions regularly creates interfaces to payment processors to collect online and in-office payments.

    For more information on our financial management, see Supporting Document 3.

- The system will provide ability to associate a payment to a business entity and structure for online and paper filings

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to associate a payment to a business entity and structure for online and paper filings. Invoices are created for any financial transaction within the application, and are associated to the activity that requires the payment. Payments automatically attach to the invoice, and a single payment can be associated to multiple invoices, even across multiple entities.

    For more information on our financial management, see Supporting Document 3.

- The system will provide audit tracking for any and all financial processing associated to a business entity or structure

    GL Suite will meet this requirement. We will specify and configure GL Suite to provide audit tracking for any and all financial processing associated to a business entity or structure. We will design an audit tracking report designed to track financial processing and payments made to business entities and structures. The report will contain all payments made, what invoices the payments were applied to, the dates of the payments, and the payment types.

- The system will provide ability to search, review and modify payment information associated to a business entity or structure

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow users with the appropriate permissions to search, review and modify payment

information. Users will be able to search for payment information using GLS Report, our ad-hoc reporting tool. Users will then be able to review and modify payment information.

- The system will provide ability to determine and modify the next business day for processing in the system

  GL Suite will meet this requirement. We will specify and configure business rules to automatically calculate the next business day for processing in the system when applicable. GL Suite automatically sets dates using business rules to calculate days. Business rules can be configured to determine due dates based on business days, excluding holidays and weekends, and any other required criteria.

- The system will provide ability to assign a receipt date and validation date separately

  GL Suite will meet this requirement. We will specify and configure GL Suite with the ability to set the receipt date and the validation date separately. Business rules will be configured to set dates, and separate business rules will be created in situations where the receipt and validation date will possibly be different.

- The system will provide ability to create and modify a fee schedule based on specific categories

  GL Suite will meet this requirement. We will specify and configure GL Suite to allow for the creation of a fee schedule based on specific categories. The fee schedule will allow specific categories to contain a set fee schedule.

  For more information on our financial management capabilities, see Supporting Document 3.

- The system will provide ability to process refunds and reconcile payments received

  GL Suite will meet this requirement. We will specify and configure GL Suite to process refunds and reconcile payments. Refunds are simply payment objects that contain a negative amount. When a refund is applied to a payment, the payment is considered "Unpaid" and the activity that requires the payment will be reflected as such. Business rules will revert the payment requirement object to Incomplete.
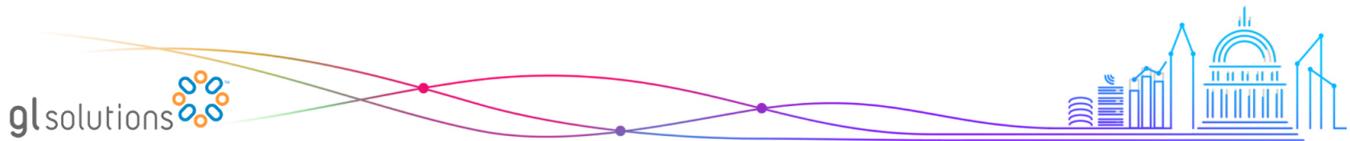
Payment reconciliations are addressed through a reconciliation report. Reconciliation reports can be run for a specific day, and will reconcile all payment information, breaking it down into specific payment types.

- The system will provide the ability to create daily deposit and cash summary reports

  GL Suite will meet this requirement. We will specify and configure GL Suite to create daily deposit and cash summary reports. These reports will provide a date field that will provide the daily deposit and cash summary reports for the specified day. This ensures the report can be run to verify data for any given day, not just the day the report is run.

  For more information on our reporting tools and services, see Supporting Document 2.

- The system will provide ability to create and generate ad-hoc fiscal reports in the system

  GL Suite meets this requirement. The core of the software system contains GLS Report, our ad-hoc reporting tool built directly into the application. GLS Report allows users with the appropriate permissions to create any ad-hoc report through a user-friendly and intuitive UI. GLS Report can create reports on any data element within the software system, allowing users to organize the data they wish to see. Reports can be exported to Excel or PDF, and only show data that the user is allowed to access.

  For more information on our reporting tools and services, see Supporting Document 2.

- The system will provide ability to create and add new fiscal categories & object codes to the system

- The system will provide ability to link to, validate, and reconcile on both current date (date funds received) and date of filing

  GL Suite will meet this requirement. We will specify and configure GL Suite to produce daily, weekly, or monthly reconciliation reports. These reports will allow the SOS to track and report on the financial activities of the given time period, and identify all incoming finances.

  For more information on our financial management capabilities, see Supporting Document 3.

- The system must maintain financial transaction data (e.g., document fee, tracking number, document type, payment amount, applicable record, and payer name for tracking and audit purposes

  GL Suite meets this requirement. The core of the software system is designed to retain all historical records unless otherwise specified.

- The system will provide ability to search for payments by data captured (e.g., login ID, transaction date, payment number)

  GL Suite will meet this requirement. We will specify and configure a search query that will allow users with the appropriate permission to search for payments by data captured, such as the login ID, transaction date, and/or payment number. Queries are ideal reporting mechanisms for searches in that they provide on screen results, and link directly to records within GL Suite.

  For more information on our reporting tools and services, see Supporting Document 2.

- The system must provide the capacity for printing all search returns

  GL Suite meets this requirement. The core of the software system allows queries to be exported to Excel or PDF format, both of which are printable formats.

  For more information on our reporting tools and services, see Supporting Document 2.

Imaging:

- The system will allow for the ability to upload scanned documents and associate them to a business entity or structure

  GL Suite will meet this requirement. We will specify and configure GL Suite to allow for documents to be uploaded and associated with a business or structure entity. GL Suite accepts documents of any type, and retains the document type upon upload. Users with the appropriate permissions will be able to view these documents directly from the entity.

  For more information on our document management, see Supporting Document 4.

- The system must store Images as compressed .tif or .pdf files
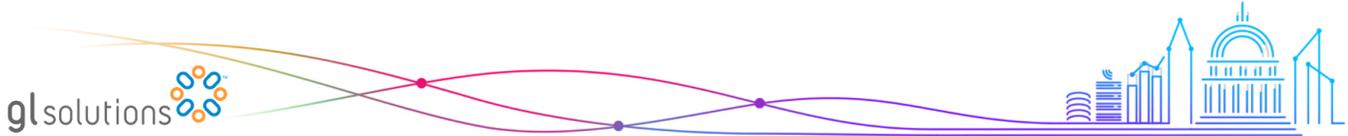
GL Suite meets this requirement. The core of the software system is designed to retain all uploaded documents in their original format. GL Suite will store images in the .tif or .pdf formats, converted prior to being uploaded within GL Suite – typically saved in one of these formats at the point of scanning, within the scanner interface outside the scope of GL Suite.

- The system must store all documents as a single file linked to the entity and filing

  GL Suite will meet this requirement. Our best practices ensure the application is specified and configured to retain all uploaded documents to the entity and filing they are related to. GL Suite does not contain all documents within a single file. As documents are associated to the entity and filing they are related to, they are saved as individual objects directly associated to the filing. This means that if the filing requires multiple documents, multiple objects will be created to house each document. By attaching the documents individually, the granular relationships between the documents and those documents' context is completely clear in GL Suite.

  For more information on our document management, see Supporting Document 4.

- The system must provide ability to store all documents in perpetuity for active and inactive entities

  GL Solutions meets this requirement. The core of the software system retains all historical data, including uploaded documents, accessible on the entity record. Users with the appropriate permissions will be capable of retrieving and viewing all stored documents within the entity.

- The system will provide ability to upload scanned documents and associate them to a business entity, structure

  GL Suite meets this requirement. The core of the software system is designed to store uploaded documents directly on the entity record. Documents will be accessible from the relevant object, such as an application, renewal or FOIA filing request, allowing users to quickly and intuitively find the appropriate document.

- The system will provide ability to view or remove a scanned/imaged document

  GL Suite meets this requirement. The core of the software system allows users with the appropriate permissions to view or deleted scanned images or documents. Access to any data within GL Suite is gated through the use of role-based security. GL Suite can be
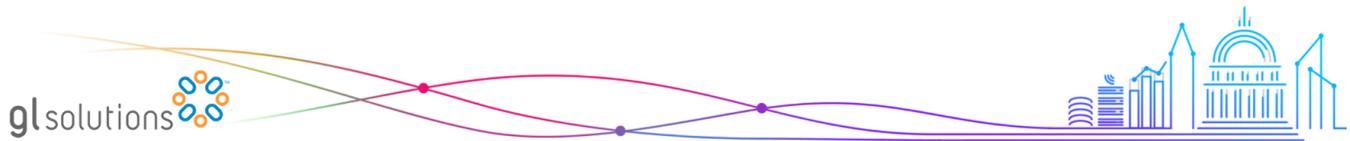
configured to provide users within specific roles the ability to view scanned documents. View and Delete permissions can be provided independently for each role.

For more information on our document management capabilities, see Supporting Document 4.

- The system will provide ability to create and recreate any and all certified documents

    GL Suite will meet this requirement. We will specify and configure GL Suite to create and recreate any type of certified document. Certified documents will be created using a reporting function. The certified documents will be dynamically populated based on information from the entity record, and users with the appropriate permissions will be able to recreate these documents as needed.

- The system will provide the ability allow external users to upload documents per service area

    GL Suite will meet this requirement. We will specify and configure self-service websites to allow users to upload documents per service area. Document uploads will be facilitated through the online workflow they are relevant to.

    For more information on our document management capabilities, see Supporting Document 4.

- The system must provide the ability for optical scanning capabilities to identify and automatically read barcodes printed on incoming documents for indexing purposes for both batch and individual scanning

    GL Suite will meet this requirement. We will specify and configure GL Suite to utilize optical scanning capabilities to identify and automatically read barcodes printed on incoming documents for indexing purposes for both batch and individual scanning. We will configure documents to contain a barcode of the entities ID number. Upon scanning the barcode, the entity record will automatically be opened within GL Suite to facilitate more efficient filing of documentation.

- The system must adhere to the Agency requirements in compliance with West Virginia State Law and the Americans with Disabilities Act (ADA)

    GL Solutions meets this requirement. GL Solutions has a strong public sector presence, and we understand the value of meeting Federal, State, and Local requirements for

equal technology access. Both the public-facing and the back-office facing components of GL Suite adhere to current design principles and accessibility standards that enable people with disabilities to use it.

- The system shall be designed for American English speakers

    GL Solutions meets this requirement. Our standard practices are to design and configure GL Suite and accompanying websites in American English.

- The system will support deletion of scanned images

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow users with the appropriate permissions the ability to delete scanned images from records.

Correspondence:

- The system will allow for the generation and access specific correspondence templates

    GL Suite will meet this requirement. We will specify and configure Correspondence templates that will be accessible to users with the appropriate permissions. GL Suite can maintain a library of letter templates that have been customized for your agency's needs. GL Suite templates are designed to populate letters automatically with specified information from a record. Letters created from templates can be printed, emailed, or saved to a record as Adobe PDF, Microsoft Excel, or Microsoft Word files. Once a form letter has been created, users can also manually modify or add to its contents.

    GL Suite saves the final version (as well as any modifications) of each correspondence with the record it is related to for future use, referencing, or reprinting. GL Suite maintains historical information in perpetuity, so any type of correspondence can be easily retrieved, tracked, audited, and/or re-sent at any time.

- The system will allow for the generation of correspondence, by authorized Division users utilizing approved templates

    GL Solutions will meet this requirement. We will specify and configure GL Suite to generate correspondences for use by employees with the appropriate permissions, utilizing templates approved by agency staff. GL Solutions will collaborate with agency staff to design correspondence templates for use within the software system, which will be dynamically populated by data from the application. Only authorized agency staff will have access to the correspondences.

For more information on our reporting tools and services, see Supporting Document 2.

- The system will allow for the communication with business owners and/or contacts via email

    GL Suite will meet this requirement. We will specify and configure standard email templates for the communication with business owners and/or contacts. In addition to dynamically populated email templates, we will also configure a command designed to allow the sending of an email to business owners/contact. The email command will produce a blank email, allowing the user to populate the contents of the email, which will be sent to the active email address of the business owner/contact and save to the record.

- The system will allow for the generation and sending of a single correspondence and generate and send mass correspondence to specific users (both internal and external)

    GL Suite meets this requirement. The core of the software system is designed to facilitate the generation and sending of single or batch (mass) correspondences. A correspondence can be configured to be sent as either an individual correspondence or a batch correspondence, or both.

- The system will allow for the logging and retrieval of all correspondence sent to users regarding their business entity

    GL Suite meets this requirement. The core of the software system is designed to save correspondences on the entity record that they are generated on. Each correspondence generated within the software system is saved with a time stamp of when the correspondence was sent, including all edits performed on the correspondence. Users with the appropriate permissions will be able to open the saved correspondence to view at a later date.

- The system will allow for the filing of acknowledgements by email regardless of submission method

    GL Suite will meet this requirement. We will specify and configure GL Suite to generate acknowledgement emails regardless of submission method. We will configure business rules to dynamically populate an email template upon the receipt of a filing, regardless of submission type.

- The system will provide the ability for certified certificates of status to be available for download as PDF files and include a watermark and the information for the Secretary of State at the time of initial certification.

  GL Solutions will meet this requirement. We will design the self-service website to provide certified certificates of status to be available for download as PDF files. The PDF files will contain a watermark and the information for the Secretary of State at the time of the initial certification.

- The system must store all correspondence generated and provide the ability for future retrieval

  GL Suite meets this requirement. The core of the software system is designed to save correspondences generated directly on the entity for future retrieval. The saved correspondence will retain the data exactly as it was generated, edited and saved.

- The system must auto generate confirmation or tracking numbers and status information for online submissions via email to all users associated to an entity

  GL Solutions will meet this requirement. We will design the websites to generated confirmation/tracking numbers and status information for online submissions, and communicate these through email to all users associated to an entity. Business rules will be used to generate sequential confirmation/tracking numbers and will be dynamically populated within the email along with the status of the filing.

- The system must generate renewal and expiration notices and change record status

  GL Suite will meet this requirement. We will specify and configure GL Suite to generate renewal and expiration notices and change record statuses. GL Suite can be configured to automatically generate and send emails upon the change of a status or specific events, such as when a license is eligible to renew or an update to a license occurs.

- The system must provide functionality for internal staff to manage periodic forms and notices for mailings

  GL Suite will meet this requirement. We will specify and configure GL Suite to allow internal staff to manage periodic forms and notices for mailings.

- The system must provide ability to integrate signature fonts or signature images to be reflected on certificates and correspondence

GL Suite will meet this requirement. We will specify and configure GL Suite to contain signature images for correspondence and email templates. Correspondences can be designed to include a signature embedded within the template. For instances where a signature would be dynamically inserted into the correspondence, we instead use a report to facilitate the functionality. However, reports and correspondences contain many of the exact same features. The major notable difference between a report and a correspondence is that reports are not saved to the record.

For more information on our reporting tools and services, see Supporting Document 2.

- The system is to provide an option to reprint previously generated certificates, rejection letters and receipts.

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow users to reprint previously generated certificates, rejection letters and receipts.

Reporting:

- The system will log and retrieve all reports generated by the system

    GL Suite does not meet this requirement. GL Suite generates reports, but does not save generated reports within the software system. However, reports can be re-run to reproduce the results of the report so long as the data remains the same within the relevant area. In addition, all reports are generated in Microsoft Word, which allows users to manually save generated reports.

- The system will create and run specific reports for pertinent staff and functional areas (e.g. fiscal reports, administrative reports etc.)

    GL Suite will meet this requirement. We will specify and configure GL Suite to create and run specific reports for staff and functional areas. We will design most reports to be available from the main screen dashboard, only providing access to reports the user is authorized to run.

    For more information on our reporting tools and services, see Supporting Document 2.

- The system will provide a user dashboard to enable staff to access reports based on user access and permissions

GL Suite will meet this requirement. We will specify and configure most reports to be run from the main screen menu. Only reports that the user has access and permissions to run will be visible within the reports menu. Some reports will be run from the object they are relevant to, such as a license or payment, however these reports will only be visible to staff who have access to run them.

For more information on our reporting tools and services, see Supporting Document 2.

- The system will provide the ability for authorized Division users to write and run ad hoc reports

GL Suite meets this requirement. The core of the software system contains GLS Report, our ad-hoc reporting tool. GLS Reports allows users with the appropriate permissions to create ad-hoc reports and queries against any data element within the software system. GLS Report provides an intuitive and user-friendly UI to select entities, fields, and sort orders to the reports. Reports created within GLS Report display on screen, and link directly to the records. Reports can also be exported to PDF or Excel.

For more information on our reporting tools and services, see Supporting Document 2.

- The system will provide scripts for ad hoc reports that will be maintained within the system for future use

GL Suite meets this requirement. With GLS Report, no scripts are needed. The intuitive and user friendly UI allows users of any competency level to create the desired reports using the desired data.

For more information on our reporting tools and services, see Supporting Document 2.

Administration:

- The system will provide a workflow queue with work assignments based on current functional areas

GL Suite will meet this requirement. We will specify and configure GL Suite to provide dashboards to staff members to manage workflow queues. GL Suite provides dashboard functionality that will alert staff of deadlines and assigned tasks. Each staff member can have a dashboard that appears on his or her screen upon log in. Dashboards can be assigned to a user, position type, and/or group. Tasks can be color-coded to inform users instantly of their status (e.g. currently due, past due, no due date). Moreover,

records, individuals, tasks, and cases listed in the dashboard are hyperlinked directly to an associated record. Dashboard results can also be filtered, sorted and reordered. During the design process, GL Solutions will consult with your team to determine all of the dashboard functionality you desire.

- The system will provide ability to assign work assignments to specific staff

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow work assignments to be assigned to specific staff members. Staff members will be populated in a dynamic drop down menu, allowing users to be manually assigned to a work assignment. In addition, business rules can be configured that will automatically assign staff members to the work assignment based on pre-defined criteria.

- The system will provide the ability for staff to manage, sort and route tasks

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow staff with the ability to manage, sort and route work assignments. Steps within a business process can include the manual assignment of the work to the next staff member, or can be facilitated through business rules. Staff with the appropriate permissions will have the capability to reassign work from one staff member to another.

- The system will provide the ability for staff and administrators to modify work assignments during any phase of the workflow lifecycle

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow staff and administrators to modify work assignments during any phase of the workflow lifecycle.

- The system must maintain audit log for all changes to records containing information on edit date, last edit user and previously stored content

    GL Suite meets this requirement. The core of the software system is designed to maintain a history of all changes and updates made to a record. This history shows all updates made, organized by date and time, and displays the previous and new values and the user who performed the update. The history is available on any screen within the software system.

- The system must ensure that all system transactions are logged in the database and auditable

GL Suite will meet this requirement. We will specify and configure GL Suite to log all system transactions in the database. GL Suite can be configured to include a transaction log of all actions executed in your system. For each system activity, your transaction log can include the change made, the date and time of the change, and information about the user who made the change. GL Suite can maintain an audit trail of any transaction review and approval occurring during an automated workflow. It can also be configured to record a history of who has viewed sensitive data (as defined by business rules).

- The system will ensure that user access levels shall be tiered for internal user access levels, with varying view and edit permissions based on role

  GL Suite meets this requirement. The core of the software system utilizes role-based security to gate access to screens, fields, commands and reports. Each object or property within the application can have its own specific security settings set to specific roles, providing incredibly flexible security settings across the entire application.

  For more information on GL Suite security, see Supporting Document 10.

- The system software will not contain any features permitting access to the system in violation of its security features or the change management process

  GL Suite meets this requirement. The core of the software system only provides access to the application to those who are authenticated through the use of a username and password. GL Suite contains no features that would allow access in violation of the security features.

- The system software will not contain any features rendering the system inoperable, or degrade its performance

  GL Suite meets this requirement. GL Suite does not contain any features that will render the system inoperable or degrade its performance.

- The system software provided will be certified by the vendor as virus and malware free

  GL Solutions will meet this requirement. We will certify that the software system is virus and malware free.

- The system must have the capability to monitor transactions through the system for the purposes of auditing, error diagnosis, and performance management

GL Suite meets this requirement. GL Suite provides a batch processing log, as well as an error log, to allow users to identify and monitor transactions through the system for errors and performance issues. Staff with the appropriate permissions will be able to monitor batch processing, review the status of batch processing and even stop or pause some batch processing functions. The error log will display errors that occur within business rules and commands, along with the timestamp, the exception provided, and the tier the error occurred on.

- The system must support encryption of data, including the ability to transmit and receive encrypted files and messages

    GL Suite meets this requirement. The core of the software system is designed to encrypt data both in transit and at rest.

    For more information on our hosting services security, see Supporting Document 5.

Authentication and Authorization:

- The system will have the ability to create, update and manage user roles and permissions for both internal and external users

    GL Suite meets this requirement. The core of the software system is designed to address access to data through role-based security for internal users. GL Suite utilizes user groups to assign permissions to internal staff. User groups can be updated and maintained by administrative staff with the appropriate security permissions. External users are only provided access to data through self-service websites. Websites are created to facilitate workflows specific to the services offered online.

- The system will have the ability to control access to sections of the system according to defined permissions and roles

    GL Suite meets this requirement. The core of the software system is designed to provide and restrict access to functionality, data and screens within GL Suite using role-based security. Role-based security gives users access to parts of the software system by determining read, write and delete access based on the user group of the logged in staff member. Each screen, field and command can contain its own security, ensuring access to view or manipulate data is restricted to authorized users.

- The system will have the ability to differentiate between internal and external users

GL Solutions will meet this requirement. Our standard practices are to only provide internal users with access to the software system. External users are provided access through self-service websites. Our websites require user authentication utilizing a user name and password, and only provides access to data relevant to the user, such as applications and service requests only applicable to the entity type.

- The system will have the ability to display access to specific pages and information about business entities and structures to public without a user login

    GL Solutions will meet this requirement. We will design public verification websites to allow the public to access and view specific pages and information for business entities and structures without a user login. We will design websites to only display information deemed "public" to be shown. The website will allow the public to view real-time information related to businesses and structures, allowing the public to search for records based on status, location, entity type, etc.

- The system will provide one-to-one credentials only. There is not to be any shared access.

    GL Solutions meets this requirement. Our standard practices are to require a login for each individual user of the software system.

- The system must provide access in the areas of fiscal, imaging, correspondence and service areas in addition to areas already defined

    GL Suite meets this requirement. The core of the software system provides access elements of the application utilizing role-based security. Users that are authenticated will be provided access to the areas their role allows.

- The system will ensure that different levels of permission will be defined by the project team and implemented according to approved design requirements

    GL Solutions meets this requirement. Our standard practices are to determine the required security groups near the beginning of the project. We will meet with agency staff to determine the required security groups and get a high level idea of what access each group will require. During the design and configuration of each business process, we will begin setting the security for that process for each user group to ensure specific fields and screens are accessible to users who need it. All technical specifications will be submitted for agency review and approval prior to the configuration of the application.

Migration:

- The system must have the ability to integrate and migrate data from existing systems

  GL Solutions meets this requirement. Our standard practices are to perform data migration from the existing software systems into GL Suite. GL Solutions has developed and perfected our data conversion methodology to ensure a seamless transition of data from the existing software system to GL Suite. Our data conversion process ensures all data is converted into the appropriate formats for use within GL Suite.

  For more information on our data conversion methodology, see Supporting Document 6.

- The system must have the ability to import data from other data sources (e.g. FTP; code tables etc.)

  GL Suite will meet this requirement. We will specify and configure third party interfaces to import data from third party data sources. GL Solutions regularly creates third party interfaces to facilitate data exchanges with outside sources.

  For more information on our third party interfaces, see Supporting Document 7.

- The vendor will provide mapping of the .tif and .pdf images in the Legacy system

  GL Suite will meet this requirement. We will specify converted image files to be stored directly on the entity they are relevant to. During the design and specification of the data conversion process, we will identify documents and their associated entities. Converted documents will be stored within the entity, under the objects they are relevant to. For example, images related to specific applications will be stored within the legacy application and other related data.

- The vendor will provide a migration plan which successfully moves all the data to a single database and database type

  GL Solutions meets this requirement. Our standard practices are to create a data conversion plan to migrate data into a single database and database type.

- The vendor must provide a migration plan that will include multiple migrations to include historical data, data through development, and "Go Live" data

  GL Solutions meets this requirement. Our standard practices are to perform multiple iterations of the data conversion to the GL Suite software system. The migration

process begins early on in the project to ensure all data is property identified and mapped according to the design of the application. We will perform 3 total conversion runs to ensure all conversion issues are addressed. For each conversion run, we will request an additional set of data to ensure accuracy with the conversion process. The final conversion occurs just prior to the Go Live of the project, where we will request all data to be converted into GL Suite.

For a more in-depth look at our data conversion process, see Supporting Document 6.

- The vendor will ensure that the migration of "Go Live" data will have a limited impact on the duration existing public facing interface is offline

    GL Solutions meets this requirement. Our standard practices are to perform extensive testing of data conversion prior to the go-live of GL Suite. Our data conversion methodology includes test runs of the data conversion process to ensure data is converted accurately during the first two rounds of data conversion. Screens are reviewed with Agency staff to ensure accuracy, and any issues that are identified generate tasks for resolution. Issues are identified and corrected, then re-tested prior to the final conversion run.

    For more information on our data conversion methodology, see Supporting Document 6.

- The system must provide the ability for images to be indexed in the database with all images of documents stored on a file server

    GL Suite indexes documents by organizing them within the entity they are relevant to, and by providing data on the document object such as document type, dates, and other details the agency desires to enter. The document is stored directly on the entity, within the collection of objects and data that it is tied to. Documents that are requirements will be stored directly under the object it is a requirement of, allowing for intuitive storing and quick retrieval. GL Suite does not meet the specific language of this requirement, "stored on a file server", as all documents are stored within the same database the agency data resides in.

    For more information on document management, see Supporting Document 4.

- The system must ensure that migration will keep a 1:1 relationship between filings and an entity
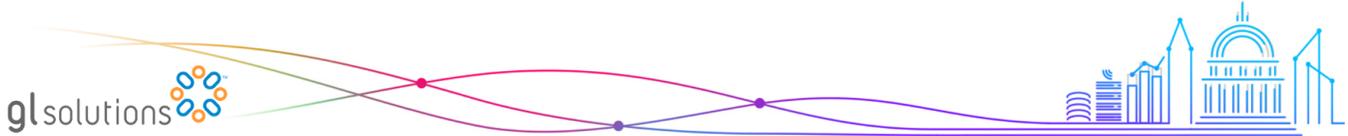
GL Solutions will meet this requirement. During the Data Conversion process, we will identify all relationships between filings and entities and maintain these relationships. Our data conversion process includes reviewing and mapping the layouts of all data within the legacy software system, including relationships between entities, filings, and documents. We will ensure the transfer of these relationships within GL Suite.

- The system must ensure that migration will keep a 1:1 relationship between a filing and associated images

    GL Solutions will meet this requirement. During the Data Conversion process, we will identify associations between filings and images to ensure they are converted for use within the GL Suite software system.

- The vendor must develop a 5 year growth plan for the database based on a 10% annual increase of filings

    GL Suite meets this requirement. GL Suite's Microsoft SQL Server framework supports the high level of vertical and horizontal scaling.

    Vertical Scaling
    GL Suite's Microsoft SQL Server platform supports the highest level of hardware scalability. It can be scaled vertically to support more than 8 processors and to handle as many as 256 logical processors. With a GL Suite system, you will also be able to scale your server up by adding memory and CPU resources without stopping database services (supported in SQL Server 2008's Hot-Add capability running on special equipment).

    GL Suite's Microsoft SQL Server platform can also be vertically scaled to keep pace with the newest hardware advancements. Microsoft SQL Server supports 64-bit technologies and non-uniform memory access (NUMA) hardware (both hardware NUMA and soft-NUMA).

    As well, GL Suite's Microsoft SQL Server platform supports up to 50 Database Engine and Analysis Services instances on one server.

    Horizontal Scaling
    GL Suite's Microsoft SQL Server platform also offers multiple methods for scaling out your databases and tables. Among the various approaches it offers, are:
    - scalable shared databases
    - peer-to-peer replication
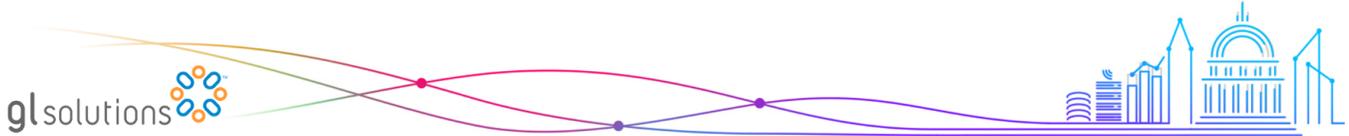
- query notifications
- Service Broker
- data-dependent routing
- scalable shared databases for analysis services

- The system must maintain the historical records and associations to the appropriate filings during the migration process

    GL Solutions will meet this requirement. We will specify the data conversion to maintain all historical records and associations to the appropriate filings during the migration process.

- The vendor must ensure the data be analyzed for integrity, gaps identified where necessary, and recommend where differences will need to be reconciled

    GL Solutions will meet this requirement. We will analyze all converted data to identify gaps and deficiencies within the conversion specification to ensure all differences are identified and resolved. The data conversion process contains several rounds, intended to ensure the highest integrity migration of data. If the conversion specification is found to still have deficiencies beyond the initial rounds, more rounds will be accommodated.

- The vendor must ensure that the data be transformed from current to future state and routines created for converting

    GL Solutions meets this requirement. Our standard practices are to design and develop a data conversion process that will transform all data from the current state to the future state to be used by the application.

- The vendor must plan for the addition and modification of data throughout the migration process

    GL Solutions meets this requirement. Our standard practices are to plan for the addition and modification of data throughout the migration process to ensure complete accuracy in the data conversion process. This allows issues and defects with the data conversion process to be raised, identified and resolved.

General:

- The selected COTS solution must have modules successfully deployed for the Secretary of State for at least two (2) of the 50 United States or its territories

While GL Solutions has no clients currently using GL Suite to regulate in the Secretary of State environment, we have successfully implemented many software systems for many states to provide similar functionality to the needs described in this RFI. GL Solutions has tailored GL Suite for many large agencies that perform complicated operations. From the medical profession to accountancy boards and even charitable gaming, each agency brought a unique set of requirements to the table. Many software systems are designed and configured to facilitate creating licenses, certifications, and permits for various licensed professions, as well as tracking requirements such as continuing education, certificates, employment verification, and more. Applying our regulatory expertise in the many fields our clients serve, we provide state government agencies with the tools to automate many duties within each process, providing dashboards for easier visibility on the work that is assigned, integrated process guidance to ensure each step of a process is completed in the correct order, and a wealth of reporting and analytical tools. Our regulatory background paired with our highly-configurable business rules engine make GL Suite the flexible solution to meet Delaware-specific needs in the K-12 environment.

- The selected COTS solution must be secure, sustainable, efficient, high performing, and economical

    GL Suite meets this requirement. GL Suite is a COTS software system that was designed with security, sustainability, and efficiency in mind. Agencies that host with GL Solutions benefit from a range of security features from our colocation center in Bend, Oregon. GL Suite supports sustainability through the highly configurable nature of the application, designed to be tailored to the needs of any regulatory field. Efficiency is the goal of GL Suite, providing integrated process guidance and automation. GL Suite supports high performance by allowing the application to be infinitely scalable to meet the needs of the agency.

- The selected COTS solution must include differential authentication and authorization levels

    GL Suite will meet this requirement. GL Suite offers two levels of authentication: username and password, and multi-factor authentication.

- The system must maintain an audit log of all filings, edits to filings, and other transactions to include date and time, by whom, and the original and modified transaction

    GL Suite meets this requirement. The core of the software system contains a history of every action that occurs on every screen. This history contains who made the update,

the date and time of the update, as well as the update that was performed. Each screen also contains two fields: a created by and modified by field. These fields contain the time and date, as well as the user who performed the update.

- The selected vendor must submit scheduled status reports for each activity group and a summary report of the project

  GL Solutions will meet this requirement. We will perform regularly scheduled status meetings to review the status of the implementation, providing an overall summary of the project and the progress of individual phases. During these calls, any tasks that require attention will be reviewed, and any concerns with the schedule of the implementation will be discussed. The contents of the status calls can be transferred into a report, providing a documented summary of the project progress.

- The vendor must develop and execute a detailed testing plan at the unit, integration, system (Beta), and User acceptance

  GL Solutions will meet this requirement. Our standard practices are to develop testing plans for key moments of the design and configuration of the software system. We begin by creating test plans for each unit of functionality designed and configured. The tests verify that the functionality performs per the specification of the software system. Test instructions are also provided to the agency when the functionality is sent to the agency for approval. Once all functionality within a business process is configured, we perform system testing, which is designed to test the functionality of the entire workflow in the same way it will be used by the agency to identify defects within the process. These test plans are created using the Process Guide, as this guide is a comprehensive overview of the entire workflow. Once all business processes are configured and prior to the system Go Live, we perform a complete system test to test the entire software system, once again using the Process Guides as a test plan.

- The selected vendor must engage Business Analysts to document all aspects of the project

  GL Solutions meets this requirement. GL Solutions has a team of business analysts to guide state regulatory agencies through the software design process.

  Our standard practices are to produce Self-Documenting Specifications (SDS) for all design and configuration within the software system. The SDS is a printout of all screens associated to a particular license type. From the Configuration Manager or for any screen in the User Interface, users can generate an SDS that describes, in detail, any screen or an object such as a license type. Each SDS provides low-level details about a

screen's fields and functionality and includes visual representations of screens with approximate field layout. It provides a report of real-time configuration settings in plain English, providing a strong basis for planning, communicating, and making system enhancements. Self-specifying functionalities include screens, fields, security, business rules, record relationships (associations), menus and more. In GL Suite, the SDS is created directly from the Configuration Manager, so it is always accurate. The SDS is sent to the agency for review and approval prior to the implementation of the design and functionality created.

Each SDS includes:
1. Cover Page with:
   a. Client name
   b. Business Process name
2. Table of Contents with:
   a. A row for each ObjectType group
   b. ObjectTypes grouped by Collection
3. Every ObjectType (screen, command, report, and query) referenced by:
   a. the Phase 2 Functional Workflow Diagram
   b. a business rule on an ObjectType, which is referenced in the Phase 2 Functional Workflow Diagram
4. Custom GUI sample mock ups (not full specifications, just display) including:
   a. Custom Home Screens
   b. Custom Subforms for all ObjectTypes in the SDS
   c. Custom GUIs

- The selected vendor will maintain a repository of the documents for all project team members

   GL Solutions meets this requirement. Our standard practices are to house all documentation related to the project on our project management and communication platform, GL Portal. GL Portal is our proprietary project management tool where we coordinate and provide all project deliverables, technical specifications, administrative documents and management plans. All documents on GL Portal are stored indefinitely. GL Portal is where we submit technical specifications for review and acceptance, as well as where issues are entered to be investigated and resolved.

   For more information on GL Portal, see Supporting Document 8.

- The selected vendor will ensure that all subcontractors must be properly vetted and approved by the Department

GL Solutions does not propose to utilize subcontractors for the implementation of the software system.

Security:

- The system must provide ability to create external user accounts and user credentials for authentication and authorization

  GL Solutions will meet this requirement. The GL Suite software implementation will include external web functionality to allow external users to create accounts and user credentials to access the self-service website. The account creation page will collect user information, such as name, address, email address, and any other required information. The account creation process will have users enter a password that meets specific criteria, as well as set up secret questions/answers for use in recovering login information.

- The system must provide ability to send an authentication email when an external user creates a user account

  GL Suite will meet this requirement. We will specify and configure data rules to automatically send an email to the registered email address upon the creation of an external user account to authenticate the creation. The account will be put on a "hold" status to prevent the login of the account. Data rules will be used to validate that the user has accessed the link to validate the account, and upon verification the "hold" status will be removed.

- The system must provide the ability for external users to create, manage and change their usernames and passwords without Agency intervention

  GL Solutions meets this requirement. Our standard practices are to offer an account recovery capability accessible on the login page of the self-service website. The account recovery will allow users to reset their password or recover their username to the registered email address of the account without Agency intervention. Users will be prompted to provide the answer to their secret question, and upon verification will be provided a password reset option, or have their account username provided via email.

- The system's website must utilize a Secure Socket Layer (SSL) with at least 128 bit encryption

GL Suite meets this requirement. The core of the software system utilizes SSL with 128-bit encryption. GL Suite encrypts data both in transit and at rest.

- The solution must meet the Laws, Rules, Regulations, and Codes of the State of West Virginia and its agencies

GL Solutions will meet this requirement. Our extensive experience designing and configuring software systems for the state government regulatory industry have given us great insight into compliance with various state laws, rules and regulations. GL Solutions will design and configure GL Suite to adhere to all West Virginia laws, rules and regulations.

Calendaring:

- The system will allow filings to occur at any time of the year

GL Suite will meet this requirement. We will specify and configure websites to allow the submission of filings at any time of the year, with users logging into a dashboard to start the process anytime, rather than just within a particular licensing process or timeframe.

- The system must recognize weekends and not include them in the business day count

GL Suite will meet this requirement. We will specify and configure GL Suite to recognize weekends and not include them in the business day count. We will configure business rules to automatically set specified dates or calculations, and will include logic within the business rules to exclude weekends from the calculations of these dates or related KPIs. For example, if the expected expiration/due date is 90 business days after the receipt of the filing, the date will be calculated excluding weekends. The days and dates to show on a dashboard or calendar calculation can be specified for business days only.

- The system must recognize state holidays and not include them in the business day count

GL Suite will meet this requirement. We will specify and configure business rules responsible for assigning dates within GL Suite to recognize State holidays and exclude them from calculations involving business days.

- The system must allow for ad hoc closing of the business office (e.g., hurricanes) and not count the closed days in the count of business days

GL Suite will meet this requirement. We will specify and configure business rules to account for the ad hoc closing of the business office to not count the closed days in the count of business days in KPIs, reports, and queries that require such a calculation.

- The system must allow for later effective dates on business entity filings and restrict the effective dates for associated entities to that later date or after

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow for later effective dates on business entity filings. We will configure business rules within GL Suite to restrict the effective dates for associated entities to that later date or after.

- The system must allow for later effective dates for amendments and make change on selected date

    GL Suite will meet this requirement. We will specify and configure GL Suite to allow for later effective dates for amendments. We will specify and configure business rules that will automatically update related dates based on the changes made to the effective date from the amendment.

Training:

- The vendor must develop and provide training using a "train the trainer" method

    GL Solutions meets this requirement. Our standard practices are to provide a train-the-trainer approach to training. We will train key agency staff in the use of GL Suite, as well as provide administrator training. Training materials will be provided to the WVSOS to ensure the transfer of knowledge from the trainer to the agency. Our training curriculum covers all aspects of using the software system, and is done so in the UAT environment to ensure the application of knowledge in an environment and with functionality that the agency will be using.

    For more information on our training, see Supporting Document 9.

- The vendor must provide training onsite at the WV Secretary of State's Office

    GL Solutions meets this requirement. Our standard practices are to provide onsite training during key stages of the implementation. We provide onsite training at the beginning of UAT to ensure all staff who will utilize the software system are capable and familiar with how the software operates.

- The vendor must ensure that at the deployment of the solution, staff members are competent in the navigation and use of the modernized business registry and can provide high level assistance to all level of users

  GL Solutions meets this requirement. Our standard practices are to ensure that through training and our integrated process guidance, end users are comfortable and competent in the use of GL Suite. We provide training to key users during the UAT period, and work with staff onsite during the first week of UAT to ensure users understand and are able to efficiently use the software system. The UAT process encompasses one week of onsite presence by GL Solutions staff to provide training and ensure familiarity and understanding of the GL Suite software system. UAT also includes regularly scheduled status check calls to ensure any issues are swiftly identified and addressed. The UAT period lasts for 4 weeks.

  In addition, GL Suite contains Process Guides, which are built-in process navigation tools intended to guide users through every step of the business process. Our Process Guides allow steps to be automated, performing actions such as appending licenses, updating statuses, generating correspondences, and more. Clicking on any step within the guide automatically opens the screen where the work is to be performed. The Process Guide highlights the step the user is on, ensuring agency staff don't lose track of where they are. With our Process Guides and our training efforts, staff can feel confident in the navigation and functionality of GL Suite.

  For more information on our training, see Supporting Document 9.

- The vendor will provide a "sandbox" for the exploration, demonstration, and training of the system

  GL Solutions meets this requirement. Our standard practices are to provide a UAT environment for agency staff to utilize for testing and learning purposes. The UAT environment will contain scrubbed data to facilitate testing and learning scenarios where the functionality of the software system can be performed the same way your agency would use it. The UAT environment will be accessible to agency staff at the beginning of the UAT period.

Testing:

- The vendor must develop and execute a detailed testing plan at the unit, integration, system (Beta), and User acceptance
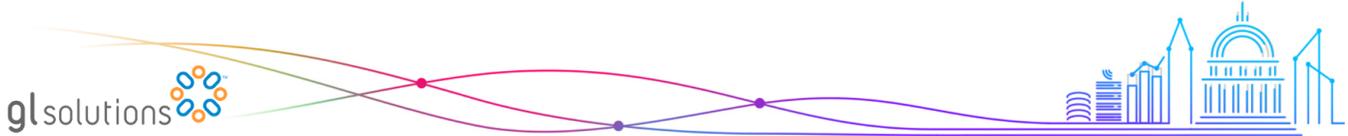
GL Solutions meets this requirement. Our standard practices are to perform unit testing on each piece of functionality that is designed and configured in the software system. We also create system testing plans for each business process upon completion of the design and configuration of each business process. Once functionality is tested and confirmed to perform to the approved specification, we provide the functionality to the agency along with the steps to test it. Test plans are created using the Process Guide, to ensure the functionality is tested in the same manner it would be used in day to day operations.

- The vendor is responsible for designing, implementing, and validating a test plan for each function of the application and the overall unit in which the function is deployed

   GL Solutions meets this requirement. Our standard practices are to create a unit test plan for each functionality configured within the software system. Test plans are created using Process Guides, which are GL Solutions' integrated workflow guides designed to guide a user through every step of a business process. Process Guides assist with the completion of a business process from start to end, allowing users to click on a step to automatically be taken to a screen, append a license, update a status, or generate a correspondence. As the Process Guide is a comprehensive guide to the business process, we create our test plans based on these to ensure functionality is tested in the same way it is used. System test plans are also created once the business process design and configuration is completed. The Process Guide acts as a System Test Plan in a similar fashion.

- The vendor must ensure that testing is to include unit and integration testing and integration testing is to take place every time there is a modification to the code and/or functionality

   GL Solutions meets this requirement. Our standard practices are to include integration testing once a business process design and configuration has been completed. Labeled System Testing, our integration testing confirms the business process can be completed from start to end without encountering any defects. This includes accounting for all variables and alternate paths the process may take to ensure all functionality is tested and confirmed to perform to the approved specification. System tests are created using the Process Guide, as this guide ensures all functionality is tested the same way it would be used within the process.

- The system must ensure that all promotions are to be Beta and successfully complete User Acceptance Testing (UAT) before a deployment

GL Solutions meets this requirement. Our standard practices are to create a Unit Test Plan for all functionality designed and configured for GL Suite. Functionality is tested once it is configured, and before promotion to the UAT environment. Unit Test Plans are created utilizing the Process Guide. Testing steps are created using steps from the process to ensure the functionality is being tested in the same manner that it is used. Once functionality has been promoted to the UAT environment, we will inform WVSOS that it is ready to test and provide test instructions. Once the updates successfully pass UAT, agency administrators or GL Solutions staff will deploy the functionality forward to the live production system.

- The vendor is to provide an issue tracking system (ITS) for the reporting and tracking of "bugs"

    GL Solutions meets this requirement. GL Solutions facilitates support of their GL Suite application through our Ticket Management process. Our Ticket Management process provides a structured approach to addressing issues and defects within the software system. GL Suite users will have access to GL Portal, our project communication and collaboration platform. Access to GL Portal will allow GL Suite users to submit new issue reports, monitor the status of previously reported defects, and verify the resolution of completed items. An issue report form is present on GL Portal, which helps streamline the collection of data by requesting a description of the issue, related screenshots, and the Process Guide step that the issue occurs. The form will also include the severity level of the issue, with a guide to help determine the appropriate severity level.

    The Ticket Management process begins when an issue is submitted to GL Solutions. When an issue is submitted, a task is created. The first step in the Ticket Management process is Order Entry, where our Quality Assurance team reviews the task, performs steps to verify the issue, and creates a Unit Test Plan designed to replicate the issue. The QA representative may contact a member of the agency staff if any clarity is required. Once this is complete, the ticket is routed either the Business Analyst team to correct the design specification, or the configuration/development team to correct the functionality to perform according to the specification. Work is then performed to correct the issue, and then routed back to the QA team. The QA team re-tests the issue to confirm that the issue is resolved. If not, a new Unit Test Plan is created, and the task is once again routed to the appropriate team to correct the work. If it is confirmed to be resolved, the QA representative will create a notification to send to the agency to inform them that the issue has been resolved with the steps to test and confirm the functionality on the UAT environment. Once the agency confirms the issue has been resolved, they can promote it to the Production environment at their convenience.

The vendor must ensure that the ITS is to record such things as a name for the issue, a tracking ID, a description of the issue, the reporter, the date reported, the priority, and the severity of the issue, as well as who is assigned to fix the issue, the status of the issue, and by whom the issue was tested and approved for promotion

> GL Solutions meets this requirement. Our ticket management system provides a workflow to enter issues and defects through a guided process designed to collect as much information related to the issue/defect as possible. This form includes capturing a name for the issue, a field to enter a description of the issue, a screenshot of the issue, and the priority. Once the form is completed, a task is created and routed to our Quality Assurance team. This task is identified by a number (for example: 352587), and includes the name of the person who submitted it and a time stamp for the date it was reported. The task will be visible to WVSOS staff on GL Portal, our project management tool for communication and collaboration. GL Portal displays the name of the individual assigned to the task, at any point of interaction – for instance, when a question is asked or approval is requested, and continuously displays the status of the task, as well as the expected delivery date.

• The vendor must ensure that safeguards are to be in place for promoting data both on a schedule and as needed in an emergency only after being unit, integration, Beta, and User Accepted

> GL Solutions meets this requirement. Our standard practices are to perform system and unit testing for all functionality that is designed and configured within GL Suite prior to the promotion of data to the UAT environment. Once the functionality is promoted to the UAT environment, our Quality Assurance team will notify the WVSOS and provide testing instructions to verify the functionality performs to the approved specification. The WVSOS will be able to promote the work to the PROD environment at their convenience. GL Solutions does not promote functionality to the Production environment – this is only ever performed by agency staff.

• The vendor must ensure that safeguards are to be in place to back out promoted code and return the system to a defined point and time through a source control program.

> GL Suite partially meets this requirement. Our standard practices are to provide backup and recovery services to ensure no loss of data during a disaster. However, GL Suite does not support the rolling back of code. The configurable nature of GL Suite and the methods of promoting new functionality ensure thorough testing is performed before it is promoted to the UAT environment. Only agency staff will have access to promote configuration changes to the Production environment. When issues are discovered due
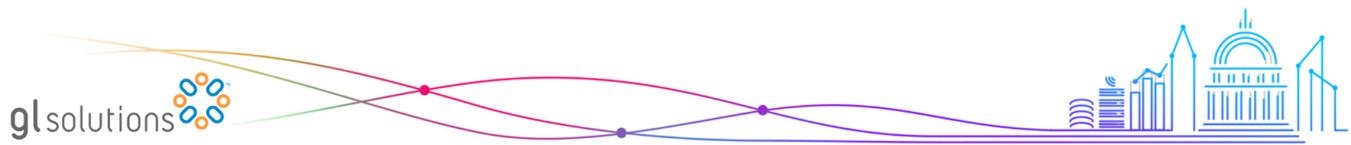
to issues with promoted functionality, if a workaround is not discovered we will address the issue in a high priority manner. High priority tasks are worked 24/7 until they are resolved. It is extremely rare that functionality would cause issues significant enough to render the software system un-useable, however our standard practices provide policies and procedures to mitigate any damage done without rolling back code.
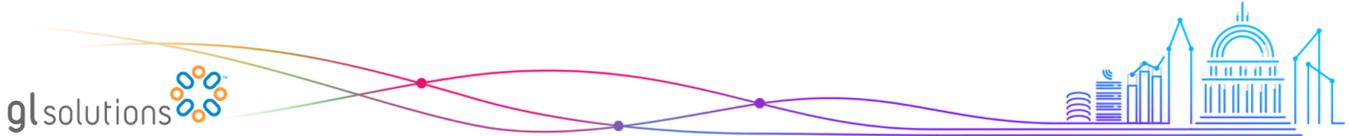
Introduction to Supporting Documents

In order to sufficiently detail the capabilities of the products and services offered by GL Solutions, and where details serve to answer multiple questions or requirements, rather than duplicate our in-line responses, we have included additional supporting documents in the form of attachments. These have been referenced throughout our responses to the WVSOS's various stated Requirements above.

Supporting Document 1 – Self-Service Website

GL Solutions can design and implement the public-facing web functionality for the WVSOS. GL Solutions has many years of experience designing public-facing websites—we have developed sites for most of our clients. We will build your website to meet your particular needs.

GL Solutions will create a public-facing website that provides all of the self-service functionality your agency requires. At the same time, it will be designed with checks and balances to ensure that members do not submit duplicate applications, that information inputted is correct and consistent, etc. We will design your website with Style Sheets for the look and feel, validations, and self-service tools your agency requires.

Websites will be cross-browser compatible, to be accessed by all the most popular browsers and devices in-use today. Your public-facing website can provide members and the public with 24x7 access to online services including, but not limited to:

- Online applications and renewals
- Online approvals
- Application/renewal status checks
- Updates to contact information
- License verifications
- Integration with third-party payment processors
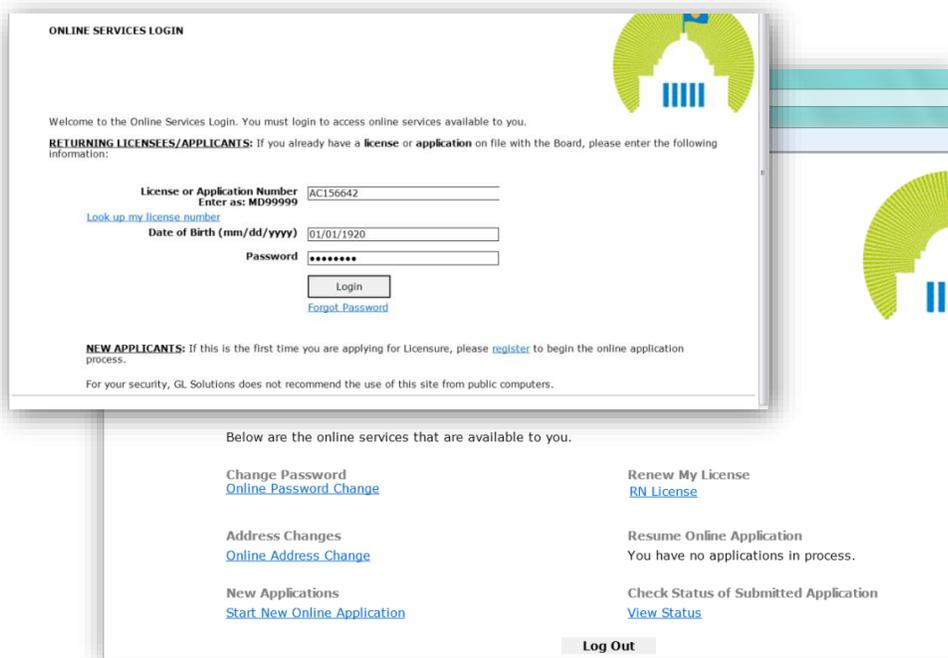
Sample, Member Self Service Screen
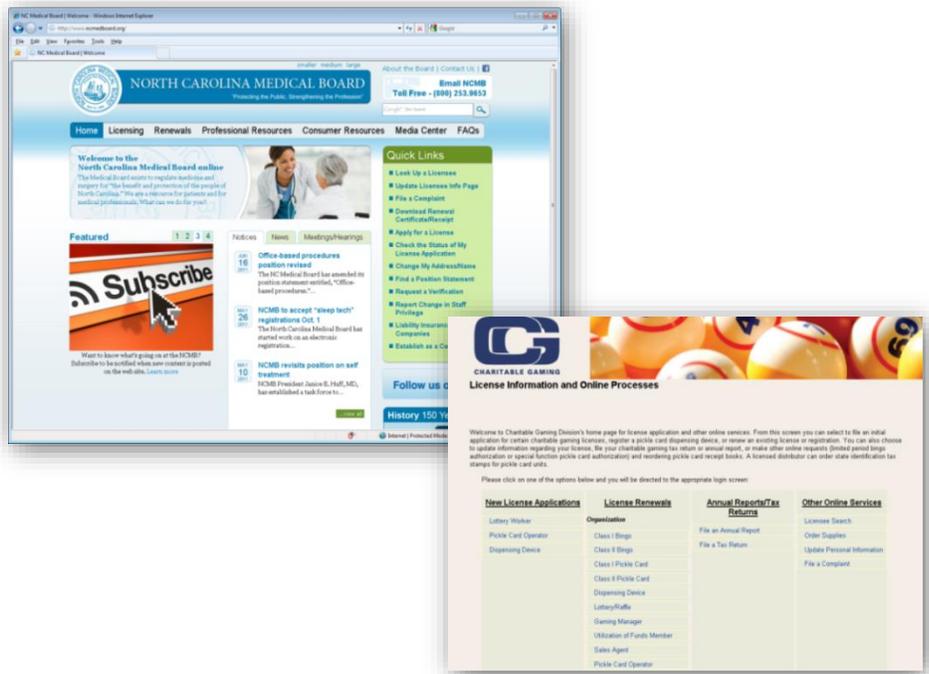
Self-Service Website
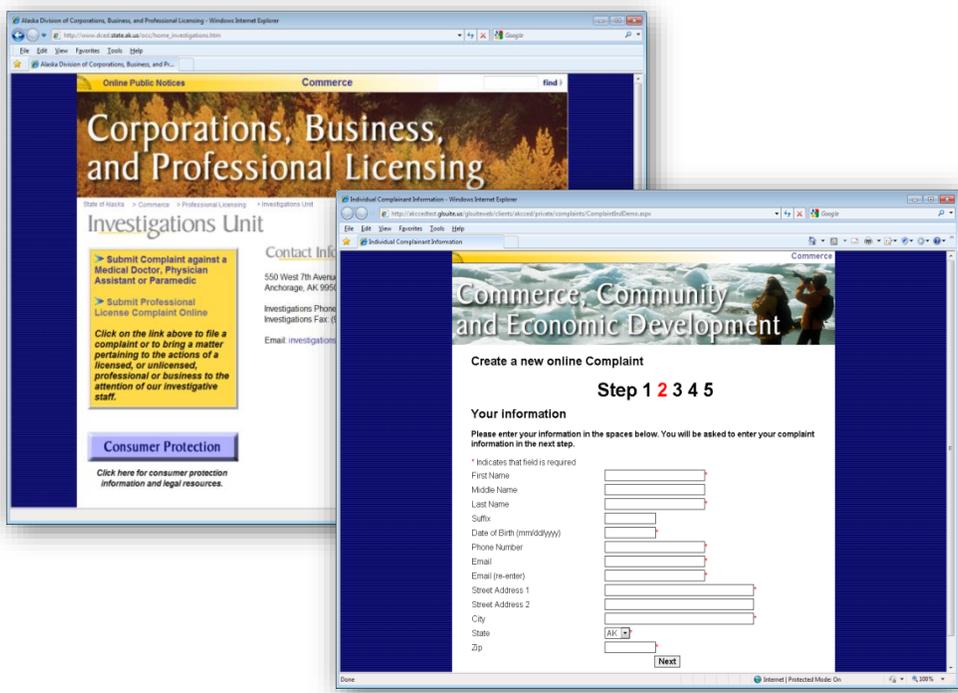
Public Complaint Site
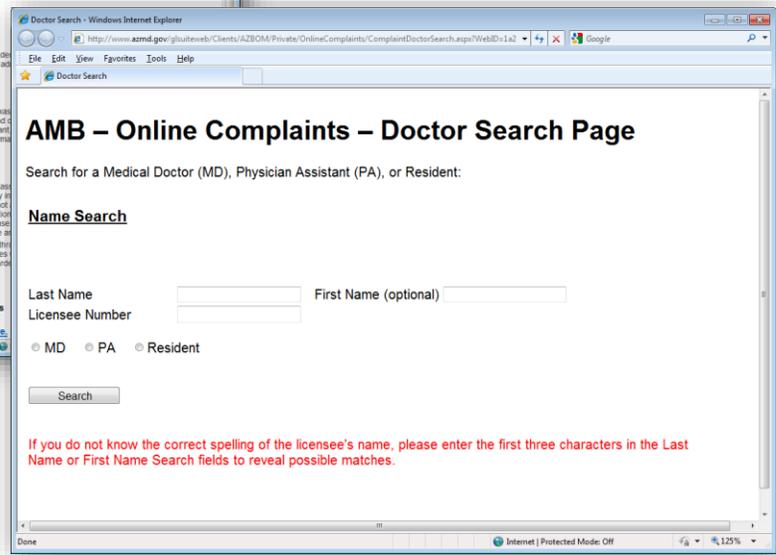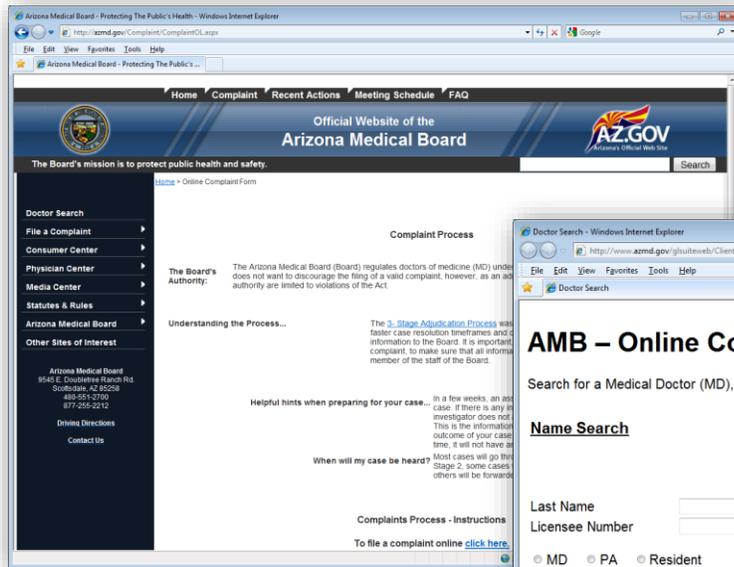
Licensee Verification Site
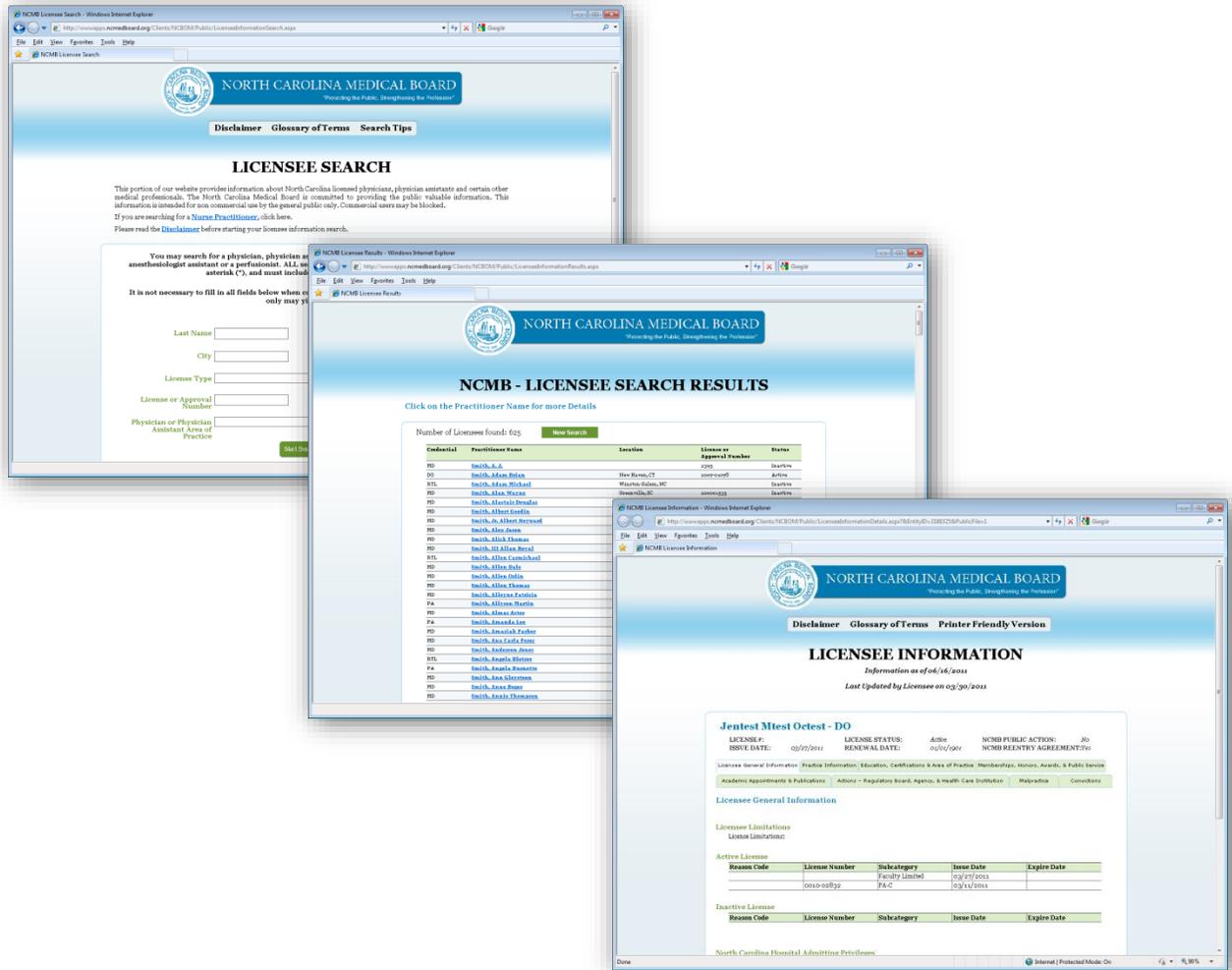
Public Search Portal

Examples:

- The self-service website will remove stress from staff—members and the public will be able to complete low-risk activities on their own, freeing up staff for other vital agency business.
- GL Solutions delivers helpful, intuitive, and efficient web functionality for our clients and their stakeholders, and we look forward to delivering the same for you.

Supporting Document 2 – Reporting and Output Samples

This supporting document is dedicated to reporting and report examples. GL Suite will meet the all the WVSOS's reporting needs.

A solid database is needed for storing all the data the WVSOS requires, however, one of the most important aspects of a database system is the ability to retrieve the data when it is needed, and in the format required. GL Suite enables agency staff with appropriate permissions to run all needed reports, both ad-hoc and predefined, to report on any data stored in the system.

GL Suite contains multiple reporting capabilities:

- Export to Excel: Specified queries with data to be sorted, reviewed, and calculated
- Export to PDF: Specified reports where data is formatted for clean review, summary, and printing
- Export to Word: Specified correspondence where staff can make additions before sharing
- GLS Report: Ad-hoc reporting tool for querying data as needed, returning data linked to records

GL Suite does not contain built-in reports for all clients, as each client system is different, matched to client business processes, and the parts are not modular. However, most software implementations would typically require at least the following management reports, named according to organization's process and requirements:

- Financial Summary Report: Transaction totals within a period or batch, by accounting code
- Financial Detail Query: Transaction details, showing every transaction within a period or batch
- Status Summary Report: Summary data showing the current totals of each status by license type
- Status Detail Query: Data export showing the current status of every licensee
- Enforcement Actions: Detailed list of the enforcement actions within a time period
- Inspection Activity: Summary counting all inspection data by inspector and county within a time period

Accuracy:

> GL Suite provides accurate, real-time reporting. GL Suite is a relational database, optimal for keeping data appropriately linked and synchronized. GL Suite maintains any given piece of information in only one location and only requires additions and updates to be inputted once. Information is always up-to-date and consistent—there is no chance of conflicting instances of the same data fields making reporting incorrect and of little worth. With GL Suite, you can trust your reports to be accurate, reliable, and reflective of the most current system information.
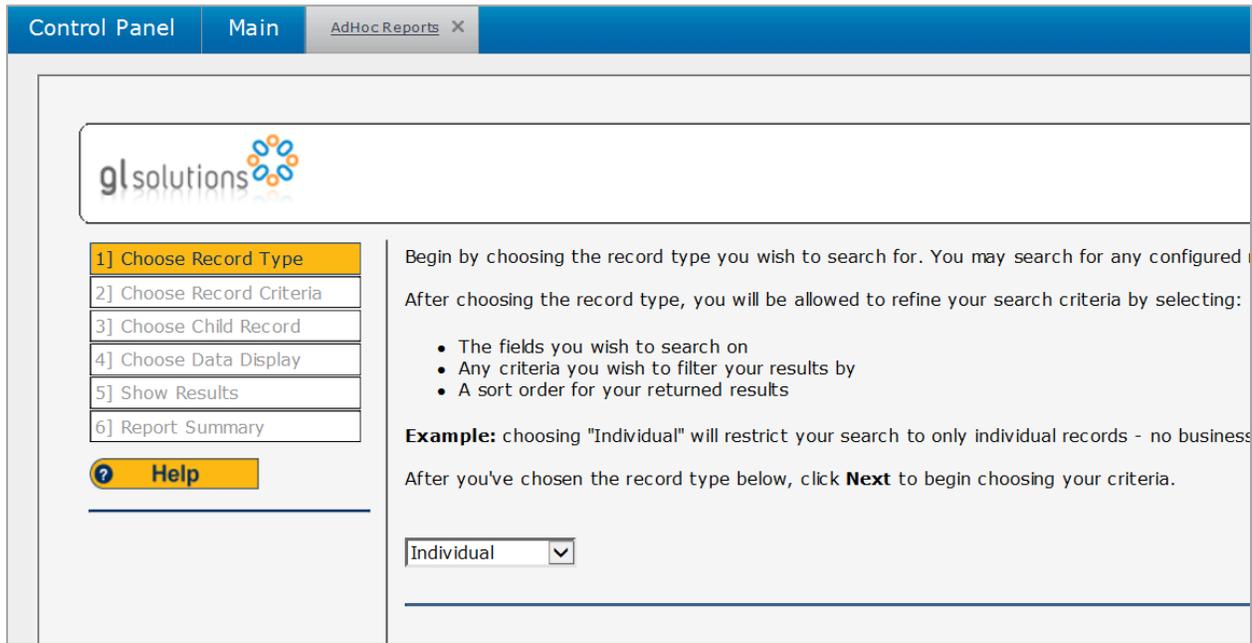
Ad-hoc Reports (GLS Report)

GL Suite's ad-hoc reporting tool, GLS Report, allows users to create on-the-fly reports in a user-friendly interface. Authorized users can generate reports based on any field or combination of fields they desire. Users can choose precisely the type of data they want to see, and sort and manipulate the returned results. GLS Report respects the system's role-based security so users only see data appropriate to their roles. Users can export the click-through results of these reports to a variety of formats to share the information with others. "Click-through" means the results are linked, so if a user is logged into GL Suite, they can click the results, and go not only to the entity's record, but the exact piece of data in the query. If the data is for individuals' continuing education records stored last year, a user can click on the link and go right to the appropriate data to gather additional details. If an ad-hoc report proves useful it can be saved to be re-run later, then applying the same criteria to gather the most current information.

GLS Report requires no updating or maintenance. Any changes made to the system through the Control Panel are instantly reflected in GLS Report; therefore, ad-hoc reports dynamically display the latest configuration and data in real time.

Predefined Reports & Queries

During implementation, GL Solutions reviews your reporting needs and matches those needs with our experience and expertise to specify and develop reports tailored for you. Agency staff with sufficient knowledge can also design and create custom reports or correspondence from any data maintained in the system using Crystal Reports and/or Microsoft SQL Reporting Services.

Predefined reports and queries dynamically display the latest applicable data.

Predefined Reports:

> Reports are useful when generating pre-formatted documents. Our reports are designed to output to Adobe PDF and can be completely self-contained or output to preprinted stock (e.g. Wall Certificate, Wallet Card). The PDF format gives users the option to send/email the document or save it to its related record for later review or re-printing.

Queries:

> Queries are most useful when a flexible output is required for further analysis. Queries can be exported to Excel and modified as desired. Less complex queries such as counts, small data queries, or single record retrieval can be generated to a screen within GL Suite.

Parameterized Queries and Reports:

> Queries and reports can be designed to offer input parameters (e.g. date range, specific license type, status of application) that allow users to refine or limit the data retrieved. Parameterized queries and reports (PQs) automatically prompt users to set limits. For example, a PQ prompt might be, "Pending Licenses as of…" When selected, GL Suite prompts the user for a date range. Prompts will match the data type, so for instance, date fields have a calendar date-picker, true/false statements have checkboxes, and license types have drop-down list-values to choose from. These parameters allow a single defined query or report to meet multiple objectives.
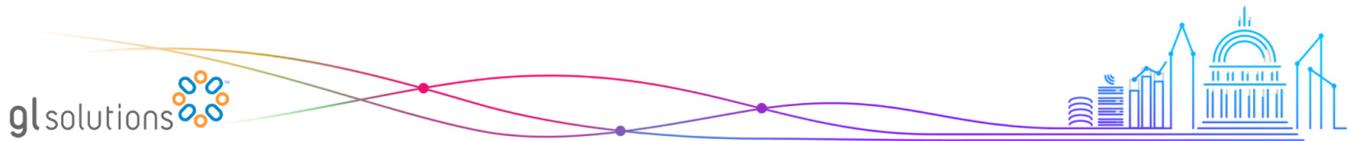
Letterhead Templates

Letterhead templates for your agencies correspondences and reports, simplifying the design of outputs. When designing and developing an output, GL Solutions will create a template for each required letterhead to be used in the required output. Providing a standalone template for each letterhead ensures consistently between output designs, despite how different the output might otherwise be. In addition, having a template for a letterhead allows for ease of updates when changes need to be made to any aspect of the letterhead, such as names, titles, phone numbers, etc.

Secure Access:

Using GL Suite's role-based security options, agency system administrators can restrict rights to reports and queries, controlling who can view, read, and/or edit each report.

Power BI

GL Solutions has recently integrated Microsoft Power BI reporting and analytics services into GL Suite. This powerful and robust analytics tool provides rich visualizations of your data, presenting the results in a variety of formats. Integrated directly into GL Suite, your data can be presented in graphs, bars, and more. Reports allow you to dynamically alter the results with selections for data points, allowing you to alter the results without having to re-run the report.

GL Suite will give users the tools to retrieve the data they need, and the confidence of knowing the information retrieved is accurate.

Report and Query Samples

Parameterized Reports & Queries
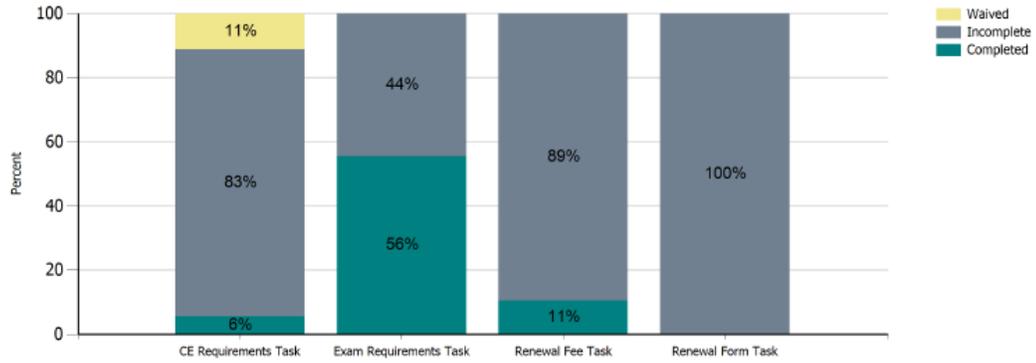
Graph Report

Power BI Report

Sample Query, Application Status


Sample Query, Exported, Revenue Report

Case Status Report

Report Date: 3/1/2012

| Investigator	Licensee	Complaint Number	Case Open Date	Overdue Tasks	Current Status	Date of Status	Days in Status	Attorney Name	Consultant	License Status
Administrator				No		12/22/2011	70 days	None	None	
Administrator		#1	08/19/2011	Yes	Complaint Received	08/19/2011	195 days	None	None	
Administrator			08/22/2011	Yes	Under Review	08/22/2011	192 days	None	None	
Administrator			12/21/2011	Yes		12/21/2011	71 days	None	None	
Administrator	Stewart, Jeff, AC	#1	01/11/2012	Yes	Refer to Investigation	01/11/2012	50 days	None	None	
Assistant				No		08/22/2011	192 days	None	None	
Assistant	Davisson, Marcene,	#1	08/22/2011	Yes	Refer to hearing	08/22/2011	192 days	None	None	Active
Assistant			08/22/2011	Yes	Complaint Received	08/22/2011	192 days	None	None	
Assistant			08/22/2011	Yes	Complaint Received	08/22/2011	192 days	None	None	
Assistant			08/22/2011	Yes	Complaint Received	08/22/2011	192 days	None	None	
Assistant	Smith, Bob,	#1	08/22/2011	Yes	Ready for IC	08/22/2011	192 days	None	None	
Assistant	Bridges, Stepford,	#1	08/25/2011	Yes	Refer to hearing	08/25/2011	189 days	None	None	
Assistant	Jordan, Michael, AC	#1	09/22/2011	Yes	Open - In Investigation	09/22/2011	161 days	None	None	
Bennett	Bennett, Brian, AC	#2	05/05/2008	Yes	Refer to hearing	01/24/2012	37 days	None	None	
Bennett			02/08/2012	Yes	Refer to Investigation	02/08/2012	22 days	None	None	
Complaints			08/26/2011	Yes	Active Investigation	08/26/2011	188 days	None	None	
Cook				No		08/26/2011	188 days	None	None	
Cook	Smith, Heather,	#1	11/10/2011	Yes		11/10/2011	112 days	None	None	Pending Renewal
Cook	Trip, Ed, DO	#1	11/11/2011	Yes	Refer to Investigation	11/11/2011	111 days	None	None	
Director		#1	08/22/2011	Yes	Refer to hearing	09/28/2011	155 days	None	None	
Director	Tester, Test, AC	#1	08/22/2011	Yes	Complaint Received	08/22/2011	192 days	None	None	
Director	Davisson, Marcene,	#3	08/26/2011	Yes	Refer to hearing	08/26/2011	188 days	None	None	Active
Director		#2	08/30/2011	Yes	Refer to hearing	08/30/2011	184 days	None	None	
Director			09/26/2011	Yes	Complaint Received	09/26/2011	157 days	None	None	
Director	Hooper, Janet,	#1	09/28/2011	Yes	Refer to hearing	09/28/2011	155 days	None	None	Active
Director	Thompson, Jim, AC	#1	09/29/2011	Yes	Scheduling hearing	09/29/2011	154 days	None	None	Active
Director	Trisch, Glenn, AC	#1	09/29/2011	Yes	Scheduling hearing	09/29/2011	154 days	None	None	Active
Investigation			02/01/2012	Yes	Open - In Investigation	02/01/2012	29 days	None	None	
Officer				No		08/22/2011	192 days	None	None	

Sample Report, Case Status
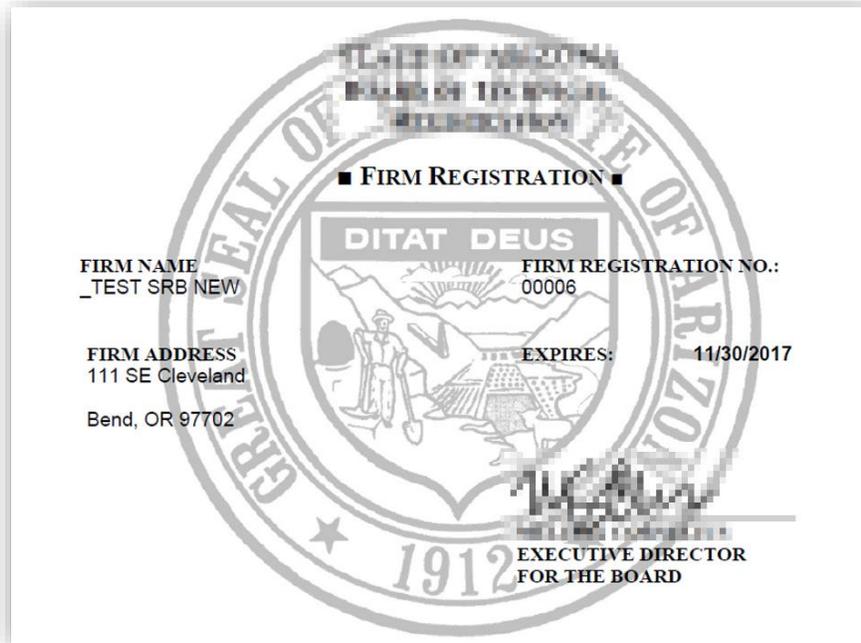
Sample Report, Wall Certificate

Some data outputs are best for on-screen analysis in Microsoft Excel, and others are optimized for printing. In GL Suite, the outputs specifically for printing are best implemented as Reports, outputting as PDF files, formatted to look good on screen and on your printer. The process even for printing large batches, such as a weekly batch of license certificates, is simple.

When licenses are activated, a rule fires to automatically flag the records for printing. Then a user follows the standard three-step process:

1. *Run the report*…Whenever a staff member is ready to print a batch of licenses, he/she runs the batch license report from the menu on the home screen. When the batch license report is run, it finds all the licenses with a flag for printing which has not yet been marked as printed, and includes their licenses in the report, generating a multi-page PDF file.
2. *Print the report*…The staff member prints the file.
3. *Mark as printed*…The staff member runs a command from the menu on the home screen to mark all flags as printed so they won't again be included in the batch.

If a licensee needs another copy of their license printed later (if your business process allows staff to issue a copy without a fee), the flag can be unmarked to include it in the batch again, or it license can be printed one-off from the license itself.
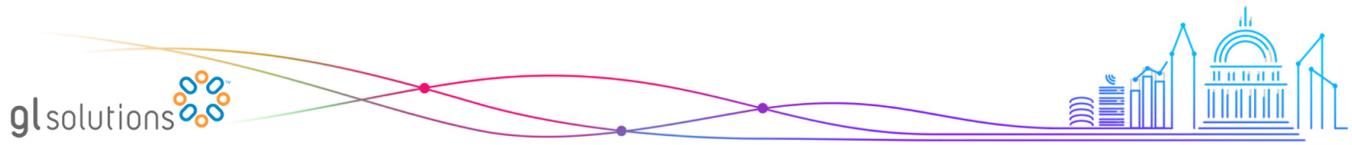
License reports are typically formatted for window-envelopes, to be quickly folded, stuffed, stamped, and mailed.
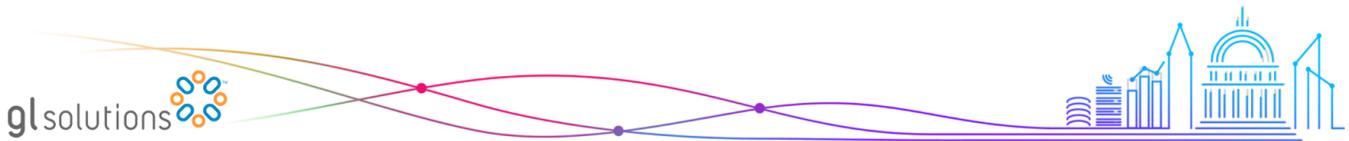
Supporting Document 3 – Financial Management

GL Suite is well equipped to help the WVSOS manage financial resources, including fee collection and management, invoicing and tracking, payment processing, collections, and reconciliations and audits.

Fees

Set fee amounts, increase fees, determine when fees are increased, and what records to apply increases to, all by using our interface for configuring GL Suite software, the Control Panel. Because the fees are unique to each invoice type (see below), your organization has complete control and flexibility as fees change from year to year.

Invoicing

GL Suite creates invoices for all monetary events that happen within your database. It automatically generates an invoice as part of the application or renewal process. It automatically links every payment with the member, employer, license, etc. to which it is related. The invoice creates a clear link between the fee and the payment.

Invoices are highly configurable and can be used to track any additional information your agency desires (e.g. account codes, batch numbers). We have numerous clients that utilize unique validation numbers for each payment or batch of payments. Others use source codes to track revenue by departments or license types. We can also incorporate payment-problem report codes and use them to generate custom reports.

Quick Pay & Online Payments

GL Solutions has integrated a Quick Pay feature into GL Suite for applying payments to invoices. With Quick Pay, staff can enter payment information for numerous licenses, events, exams, and more, all from one screen. Staff can also search for multiple licenses and apply payments, all from one screen. GL Suite supports any payment type and will accommodate partial or split payments.

GL Suite automatically links completed online payments to the related invoice and maintains a clear payment history for each entity.

Quick Pay

GL Solutions is PCI compliant, and we will integrate with most third-party payment processors. GL Suite retains credit card confirmation number responses from the payment processor but does not store credit card numbers. The payment processor will handle the actual online financial transactions.

Collecting Accounts Receivable

Late payments are a common issue for agencies. GL Suite can assess late fees, generate a separate late fee invoice, append a reinstatement application, append a correspondence notification, and/or automatically send an email notification. In addition, GL Suite can send delinquent accounts to collections, either automatically (based on lapsed time or other criteria) or manually (by users with adequate security permissions).
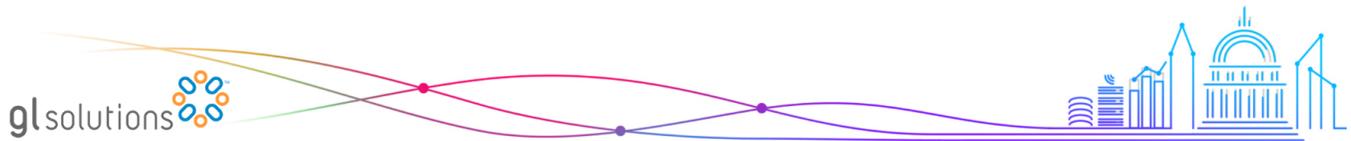
Reconciliations & Audits

GL Suite offers integrated invoicing and reconciliation capabilities. It can produce reconciliation reports and receipts according to your desired timetable (daily, weekly, etc.), which will allow your agency to track financial activities. GL Suite can also generate fees and fee reports, either manually or automatically based on agency-defined triggers (e.g. license expiration, overdue requirements).

As well, GL Suite can provide both manual and automated audit processing based on agency-defined schedules and/or business rules. GL Suite can randomly select licensees. Once selected, it automatically appends an audit task to each licensee's record and sends a correspondence requesting audit information.

GL Suite also offers diverse reporting capabilities to assist with auditing. GL Suite can be configured to included predefined reports. Agency users can also generate ad-hoc reports to access auditing information. Ad-hoc reports can be easily saved and reused, empowering your staff to perform new types of audits and update report parameters as needed.

Supporting Document 4 – Document Storage

GL Suite will reduce your administrative load by eliminating the need to file, retrieve, copy, route, and re-file paper documents. It enables your staff to capture, manage, and share documents electronically, which saves you money and time, increases productivity, and leaves you with more time to serve your public.
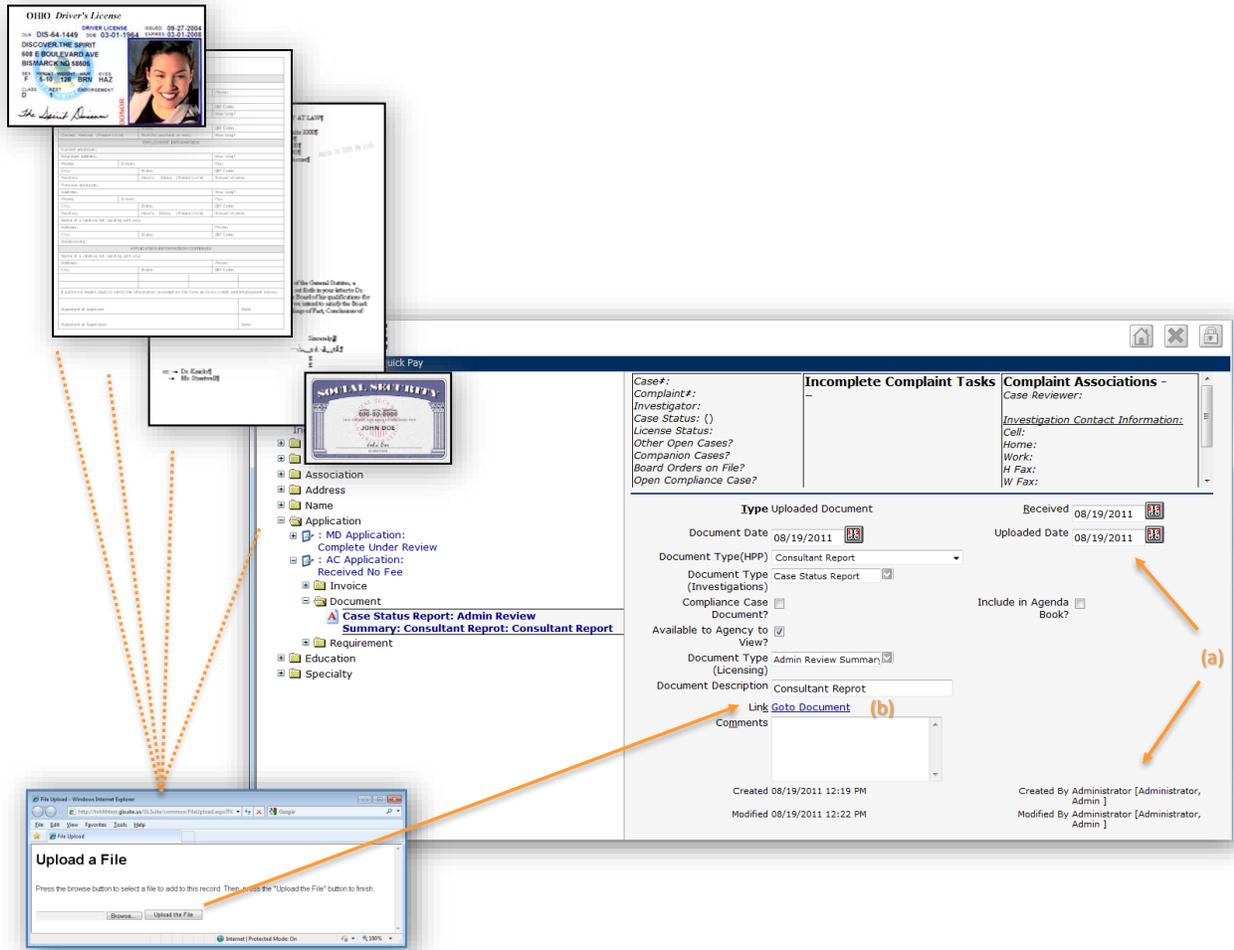
Uploaded Documents

GL Suite offers powerful document management capabilities. It allows any type of document to be uploaded and stored with a record. Documents that might be uploaded and stored include original applications, correspondence, support documentation (such as a photo of the applicant or a fingerprint card), scans of past records, and scans of certificates. GL Suite will accept virtually any file format including Adobe PDF files, text documents of any format, scanned records in any standard format, Microsoft Office, and even audio and video files.

When agency users upload documents into GL Suite, the user or automation can populate the document record with any information you require, including when the document was received, when it was uploaded, and by whom.

GL Suite automatically links uploaded documents to the record with which they are associated (b), making them accessible to authorized staff immediately or at any time in the future. Clicking the hyperlink will take the user directly to the document. With GL Suite, authorized users can retrieve and re-send uploaded documents as needed, and only authorized users can delete or re-index them. GL Suite's security determines who can and cannot access these documents and what permissions they have, just as it controls who has access to the record itself.

Based on the needs of the WVSOS, documents can be uploaded at certain points in applicants' online processes, from an online dashboard. Documents can also be scanned for Optical Character Recognition (OCR) for indexing and searching, or to ease the data entry. However, in many instances, directly capturing specific data elements from end-users through online application fields is more dependable to collect accurate data than is OCR. This requirement can be implemented where desired, and will be discussed further during the requirements gathering and system design.

If certain documents are public records, they can be flagged in GL Suite and online verification systems can be set up to display those.

GL Suite's robust and integrated electronic file-handling capabilities will meet the document storage needs of the WVSOS.
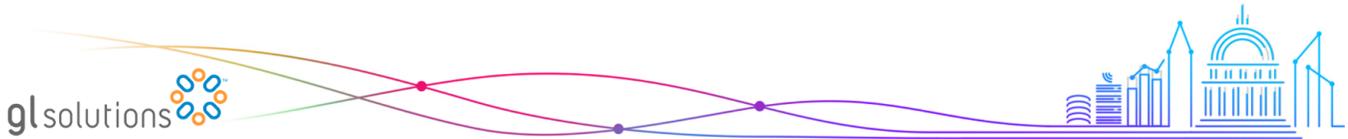
Supporting Document 5 – Hosting Overview

Hosting Services

GL Solutions has extensive experience working with agencies that choose to host our solution on their own hardware. You can run your GL Suite system on your own secure servers and access the application using nothing more than a web browser. If you choose to host the system, we will happily provide technical advice on the hardware that best meets your needs.

GL Solutions also has significant experience hosting systems at a Tier III, data center, One Neck. When you host with GL Solutions, we supply, maintain, and upgrade all of the hardware and software required to support your application. Moreover, if you choose GL Simple as your support plan, you receive GL Solutions hosting at no additional cost.

GL Solutions maintains a collection of high-speed, state-of-the-art servers, and we replace equipment on a two-year cycle to ensure that our clients have fast application performance. GL Solutions' hosting services include the installation, setup, maintenance, licenses, patches, and service release installations for Windows, SQL Server, and GL Suite. Scheduled maintenance, performance assessments, and implementation of advancements in technology ensure the security, stability, and optimal performance of every hosted solution. A GL Solutions hosted solution delivers 99% business availability—virtually uninterrupted access to network and application resources.

GL Solutions also offers Azure, a hosting environment with enhanced security, backups and recovery. Azure also allows for complex queries of data to be run with no impact to services. Azure is available to our GL Simple Enterprise clients and clients who choose to purchase the stand alone database and Power BI Access service.

Hosting Environment

GL Solutions' servers are located at the Bend, Oregon data center, OneNeck. This location, within a few miles of our office, is not only convenient for timely support if issues are not able to be resolved remotely; it is in one of the safest zones in the United States. Our colocation facility offers significant measures to ensure the security and safety of your data:

- Built-in redundancy with multiple diverse feeds to the internet backbone
- Facilities are monitored with external and internal security systems
- Generator back-up system to assure uninterrupted power
- Prevention of a single point of failure in connectivity, power, fire, or climate control
- Secure 24x7 card access
- Inergen fire suppression (a clean agent fire suppression system, free of residues and corrosive by-products that may produce further property damage)
- Flood monitoring sensors

- UPS backup circuits in the event of a power outage (circuits are on the generator as well to maintain uptime during power outage)

OneNeck's Bend, Oregon data center is Tier III certified and has received the prestigious Leadership in Energy and Environmental Design (LEED) Gold certification from the U.S. Green Building Council (USBGC). Features of the new Tier III certified data center include multiple, independent power and cooling distribution paths serving the IT equipment, dual-powered IT equipment, and concurrently maintainable site infrastructure that guarantees 99.982% availability.

Our colocation hosting in Bend, Oregon was selected by GL Solutions for its convenience and many benefits for our clients. The location of this facility was selected by OneNeck (as one of their eight data centers) because it sits in one of the safest zones in the United States.
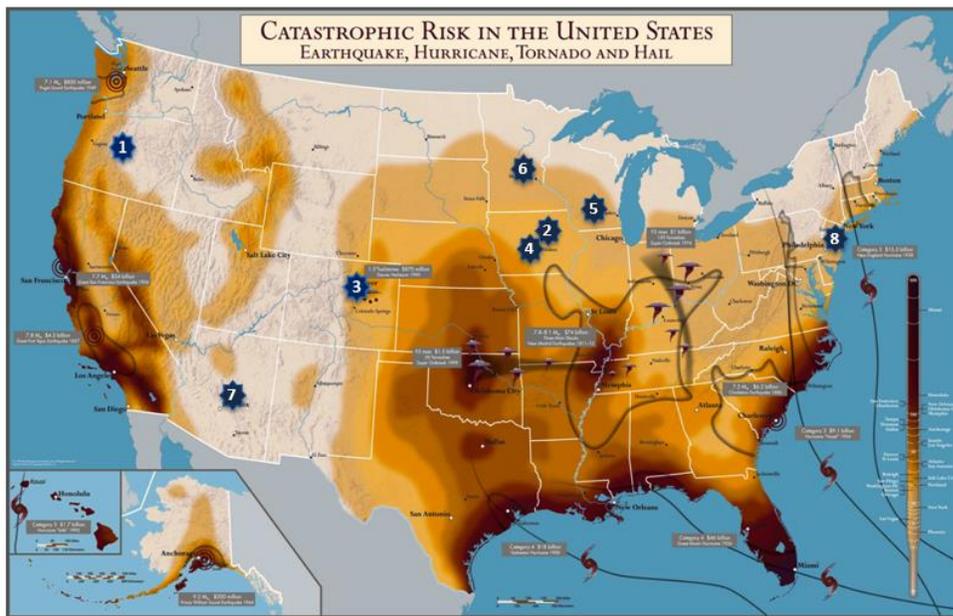
Network Security Controls
We employed network security specialists at Redhawk Network Engineering, to help design and implement our network security appliances.

We recently completed a Redhawk security audit. They reported our security controls to be "adequate to protect customer information." We have continuous improvement projects which continually test our security controls and advance and increase our security.

GL Suite's infrastructure provides a firewall with two secure network zones: a private network and a DMZ. GL Suite utilizes public key encryption technology to ensure data security. Access to the internal network is available only through a secure VPN connection. Communication protocols require a minimum 128 bit Secure Socket Layer (SSL).

Specific security precautions include:
- Retention of an independent internet security firm to audit, analyze, and monitor network security needs
- Installation upgrades on security hardware and software as soon as they are available
- Installation of security patches from Microsoft on a daily basis or as soon as they are released
- Utilization of physical network hardware including a combination of firewalls to limit potential avenues of attack
- Isolation of the database server, where your real data exists, to further protect client data
- Adherence to Microsoft best-practice guidelines for implementing application security
- Daily backup of data from the servers at both onsite and offsite locations to enable rapid data restoration if necessary
- Monitoring servers for unusual activity that would indicate a possible security breach

Data Security
We have effective network security solutions in place to protect client data internally and externally, and we continually update our solutions to improve and enhance security. See above "Hosting Environment" and "Network Security Controls" and below "Backup & Recovery" for details about data security.

Backup & Recovery
Backups of all client data are performed with redundancy in multiple locations. The GL Suite application creates backups in the evenings, every 24 hours and retains 7 days of backups at all times. The backup process includes data stored in every location within the system, including:
- Transactional Data
- Report Data
- Document Repository
- Correspondence Templates
- Reports
- Persisted Customizations
- Automated Database Jobs
- Interface Applications
- Files
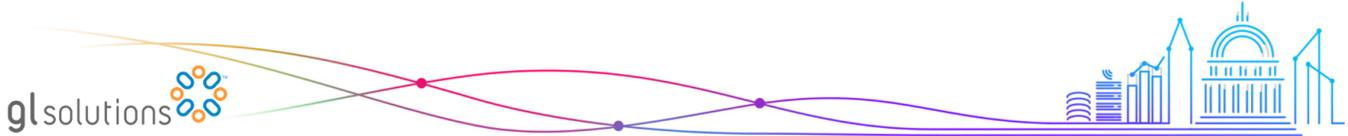
In addition, GL Solutions maintains an offsite backup facility connected via a private network. We backup data to this colocation every 24 hours and retain 7 days of backups at all times. Daily monitoring of jobs and tasks to confirm restorability ensures continuous protection of data from unnecessary loss. GL Solutions maintains redundant, replacement failover equipment to monitor and minimize downtime caused by any hardware failure. In the event of a disaster or hardware failure, data can be recovered within minutes.

The following are GL Solutions' most common strategies for data protection:
- Replication of data to an offsite location overcomes the need to restore data (only the systems would need to be restored or synched).
- High availability systems keep the data and the system replicated offsite, enabling continuous access to systems and data.
- Wide Area Network Optimization technology improves disaster recovery capabilities and increases network response times. This technology also ensures that data continues to move through the network even when it is down.

Disaster Recovery Plan

Self-Hosted

If your agency or the State hosts your software solution, GL Solutions recommends that you develop a thorough disaster recovery plan in consultation with disaster recovery experts. Our staff will also be happy to make recommendations.

When you self-host your system, GL Suite provides you with system backup capabilities that ensure you do not experience catastrophic loss of data. GL Suite enables you to push changed files from your live environment to a backup server. You can schedule system backups to run on any cycle—from real time, to every 5 minutes, every 3 hours, every 24 hours, or the frequency of your choosing. Maintaining a mirrored server in a physically separate location from your live environment ensures the safeguarding of your data.

GL Solutions Hosted

GL Solutions maintains a meticulously designed and planned Disaster Recovery Plan. Because our Disaster Recovery Plan contains information that could compromise our network security if disclosed, we do not make it available to outside entities other than our security consultants.

Monitoring, Detection, and Alert Protocols

We utilize DOT-COM Monitoring (http://www.dotcom-monitor.com/) to monitor our hosted client sites. This monitoring system performs a license search on the sites every 10 minutes and alerts our tech support team via email and telephone if there is an outage or extreme delay in response for the site.
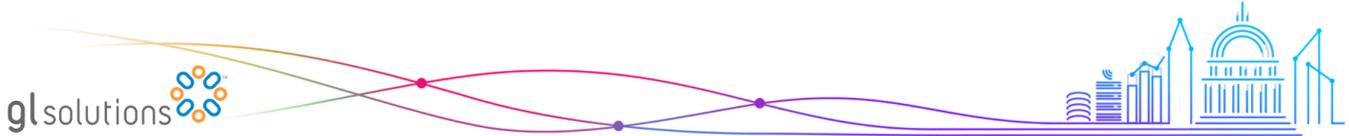
Policies, Procedures, & Protocol on Data Security Breach

GL Solutions maintains a documented standard operating procedure that takes effect in the event of a data security breach. In the event of a breach, GL Solutions will immediately notify agencies and customers. Additionally, we will provide identity theft monitoring to all affected individuals.

Staffing Security

All access to client data from within our network is restricted. GL Solutions' staff is required to maintain compliance with internal security protocols to ensure data and equipment security. Upon employment, staff must sign a confidentiality agreement. In it, staff members agree to adhere to established procedures and policies related to working with sensitive information. To develop these procedures and policies, GL Solutions consulted:

- Microsoft Security Essentials (see, http://www.microsoft.com/security/pc-security/mse.aspx)
- Internet Engineering Task Force (see, www.IETF.org)

Certifications/Audits

GL Solutions conducts required PCI compliance audits and annual independent security audits. GL Solutions currently contracts with Redhawk Network Engineering for independent security assessments and audits, which are executed annually (at a minimum). (For Redhawk certifications, see www.redhawksecurity.com.)

Redhawk independent security audits are based on ISO/IEC 27001 and ISO/IEC 27002 standards, with guidance from the National Institute of Standards. ISO/IEC 27001 mandates specific requirements intended to help establish and maintain an effective information management system within the context of an organization's overall business risks. Products of this assessment include specific requirements for implementing security controls customized to GL Solutions' needs. ISO/IEC 27002 provides best practice recommendations on information security management for use by those who are responsible for initiating, implementing, or maintaining Information Security Management Systems.

Hosting reports (examples)

Our monitoring agency, DOT-COM Monitoring, supplies GL Solutions with monthly reports. Our average uptime for the last three months is 99.84%.

Supporting Document 6 – Data Conversion Methodology

Well-executed data conversion is essential for project success. We have examined, optimized, and successfully utilized our data conversion strategies in implementations for over 20 years and can replace any legacy system and migrate any volume of legacy data. We strive to provide accuracy while minimizing the resources required of your team. To do so, we employ deep analysis, intelligent planning, strong collaboration, clear design, logical automation, careful manual manipulation, and meticulous testing.

Conversion & Migration Events
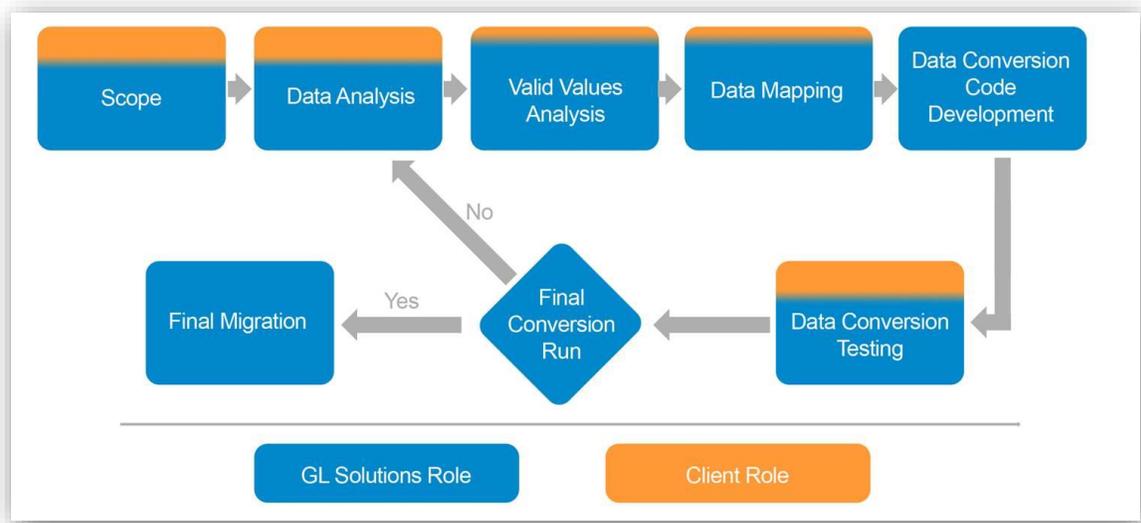
Key Conversion Events

GL Solutions and your team will follow carefully mapped out steps to complete conversion and migration:
1. Identify the scope of data conversion for each business area and the source databases GL Solutions will be converting
2. Client provides legacy data (in native format) and any related documentation
3. Plan approach to data conversion
   a. Client produces legacy reports that list key data measures and scenarios to validate the conversion (e.g. hash totals, row counts, legacy reports)
   b. Identify the quantity and nature of data to be converted and plan appropriately
      i. Define and document data extraction standards and procedures
      ii. Identify and understand the data to be converted
      iii. Identify data source for the identified data
      iv. Develop and document approach (approaches include automatic [scripted procedures], manual [user-entered data], or a combination of both)
4. Load data into source SQL server database
5. Valid value analysis

      a.   Identify valid values and redundancies including reference tables and list values that were established in configuration

6. Specification

      a.   GL Solutions develops workflow diagram database schema based on input from client Project Team that identifies all tables and fields in the source system and the tables/fields that are and are not being converted

      b.   Map data from existing system to proposed system (documented in the data conversion crosswalk Excel file)

7. Perform data conversion development

      a.   Design error and logging framework for analysis and generation of exception reports

      b.   Develop data migration programs to extract source data into the new database schema

      c.   Develop and test migration scripts

      d.   Generate exception reports

      e.   Identify exception data to be fixed

8. Perform data conversion testing

      a.   GL Solutions tests conversion results of migrated data

      b.   Client Project Team performs data testing

9. Test phase

      a.   Set up test environment

      b.   Client Project Team provides source data

      c.   Run extraction and loading routines in the test environment

      d.   Run conversion procedures in test environment

      e.   Set up User Acceptance Testing (UAT) environment

      f.   Provide data to a staging area for UAT environment

      g.   Run extraction and loading routines in the UAT environment

      h.   Run conversion procedures in UAT environment

10. Post conversion

      a.   Identify correction modes for nonstandard data (manual and/or automatic)

      b.   Write and test programs to correct corrupted data automatically

11. Perform final migration

      a.   Client Project Team provides a final set of source data

      b.   GL Solutions and the client Team collaborate to provide a listing of data fields for which incremental numbering is specified (e.g. license numbers, invoice numbers, and file numbers) including starting values

The following provides more information about the conversion and migration processes.
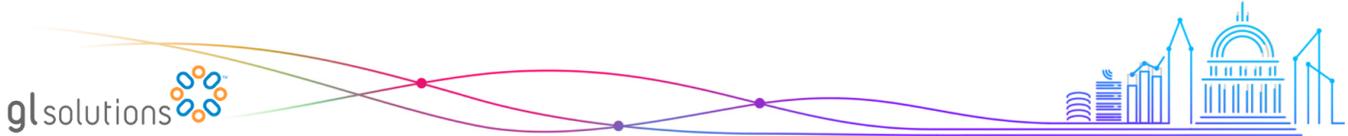
Source Data Preparation

The client Project Team provides legacy data in ODCB format if possible. If it is not possible, GL Solutions will work with your technical staff to determine an alternate format. Data should be cleansed to minimize data complications. This enables GL Solutions to provide simpler conversion code with fewer exceptions and errors. The client Team verifies the accuracy of source data prior to packaging.

GL Solutions converts legacy data in accordance with the specification and mapping documents and the exception handling process described below. GL Solutions analyzes source data, including the quantity and nature of data to be converted and converts the data in the state in which it is received. GL Solutions will provide an exception report to assist client Team in resolving errors.

SECURE DATA TRANSFER: To ensure data integrity and security, the client Project Team packages source data as an encrypted, compressed file and places the file on a Secure FTP site (SFTP). GL Solutions stores the data on a secure server inside GL Solutions' firewall. Once converted, data is migrated into the GL Solutions Test environment—access requires login credentials that provide adequate security permissions. GL Solutions only stores the data as long as is necessary to support development of your system.

Data Analysis & Data Conversion Planning

Together, the client team and GL Solutions identify the quantity and nature of data to be converted and plan appropriately. The teams work together to determine what conditions constitute an exception and/or manual processing. They decide whether to convert data automatically or manually on a case-by-case basis. The client produces legacy reports that list key data measures and scenarios that will be used to validate the conversion.

Data Importing and Staging

GL Solutions creates, documents, and executes programs to import all source data into SQL Server to be used for data conversion staging. GL Solutions then performs checks against the original data sources to ensure that all data has been imported.

Valid Value Analysis

After importing source data, GL Solutions performs valid value analysis, which includes identifying redundancies, valid and invalid values, data inconsistencies, and business validity checks.

Specification & Mapping

In order to clarify and formalize the approach to converting data and to provide direction to data conversion coding, GL Solutions creates a detailed data conversion specification (workflow diagram and crosswalk) for each stage including every data source. GL Solutions first generates a workflow diagram noting physical data structure of the source data along with:

- Tables that will and will not be converted
- Fields that will not be converted from tables being converted
- General relationships between the source data tables
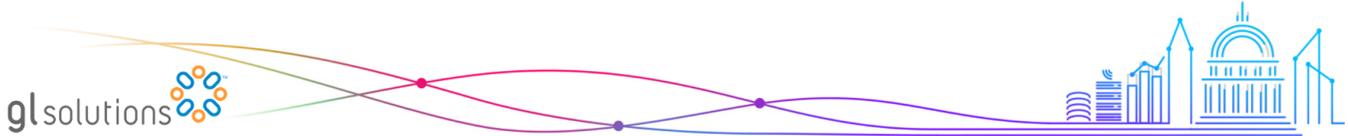
GL Solutions works with client team to facilitate an informal review of the data schema at the beginning of each stage. GL Solutions then creates the data conversion crosswalk, mapping each source data table/element to a new client table/element, noting specific business rule logic and fields that will not be converted. GL Solutions works with you to identify and resolve issues with data conversion and gain approval of the data schema and crosswalk.

Exceptions & Manual Processes
GL Solutions will query the source data to locate normalization problems and provide information to assist the client team in efficient data cleanup. If necessary, we will define manual conversion routines to be executed by the client team.

Coding
Using the data schema and crosswalk, GL Solutions writes the data conversion code to match the specification to create client entities and their related records. Data conversion code will include the logging of exceptions, which will be compiled into an Exception Report.

Test Conversion Runs
Prior to final conversion, GL Solutions performs two test conversion runs: 1) an initial run and 2) a run using specification/code revisions stemming from the initial run. Tests will first be run in GL Solutions' test environment then in the User Acceptance Testing (UAT) environment. Test systems will be configured to sufficiently simulate the production environment and provide accurate predictors of the time required for the final data conversion run.

Final Data Conversion Run
The final data conversion process implements the data conversion approach defined in the data schema and data conversion specification. The final data conversion will be run in two environments: first in the GL Solutions' test environment then in the production environment.

Exception Handling
The data conversion code logs source records that do not convert into the exceptions table with explanations as to why the exception took place. After each data conversion run, GL Solutions and the client team review the Exception Report to determine the appropriate action for each exception, such as:
- The mutual decision for the client team to cleanse the data prior to extraction
- Manual post-data conversion clean up
- An update to the Crosswalk Specification and code to automatically handle the exception
- The decision by the client team to tolerate the exception and do nothing

Data Conversion Process Timeline

Below is a sample timeline for the data conversion process—timing will vary depending on the specifics of your system.
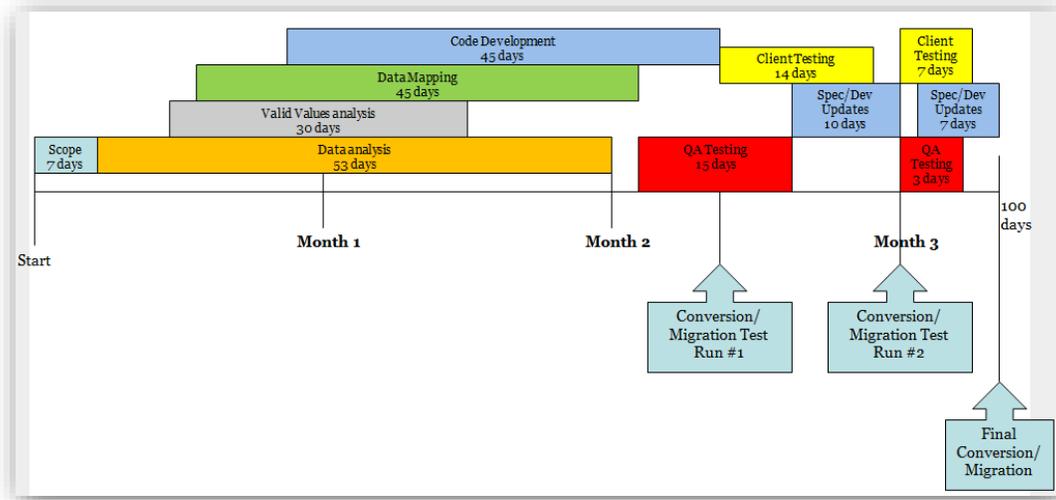
Sample Data Conversion Timeline

Data conversion requires a high level of quality assurance—it is the foundation of a successful installation. Our Quality Assurance Specialists are involved from the early stages of conversion design through the final conversion at go-live.
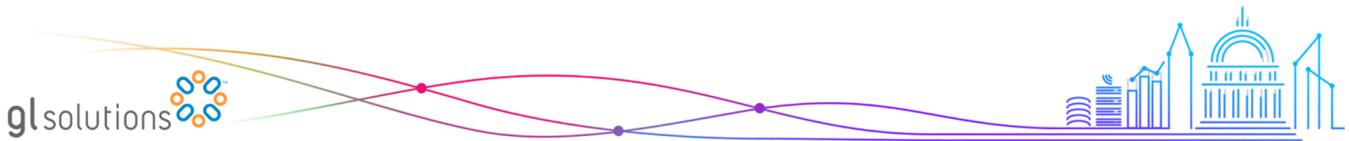
Supporting Document 7 – Third-Party Interfaces

GL Solutions regularly creates custom interfaces that allow for all manner of data exchange between our clients' GL Suite systems and third parties. GL Suite will interface with any system that has an API. We build interfaces to support online credit card payments, criminal record checks, information updates, exam scheduling, scoring, and administration, and more. Custom interfaces can provide nearly real-time or delayed transactions (whichever you choose).

FISCAL SYSTEMS: GL Suite will integrate with any fiscal system.

CONTENT MANAGEMENT OR DOCUMENT MANAGEMENT SYSTEMS: GL Suite will integrate with third-party content or document management systems. However, GL Suite does offer fully integrated content and document management capabilities. GL Suite will enable virtually any type of document to be uploaded and stored with a record including Adobe PDF files, text documents of any format, scanned records in any standard format, Microsoft Office, and even audio/video files. It will also enable licensees and the public to submit documents and documentation electronically with their online applications or complaints.

GL Suite automatically links uploaded documents to the record with which they are associated, making them accessible to authorized staff immediately or at any time in the future. Clicking a document's hyperlink within a record will directly call up the document. GL Suite's security determines who can and cannot access uploaded and stored documents and what permissions they have, just as it controls who has access to the record itself.

WORKFORCE-MANAGEMENT SYSTEMS: GL Solutions can create an interface to enable GL Suite to integrate with workforce-management systems. (For the various methods we employ to create interfaces, see below "Third-Party Interfaces".) If MPCA seeks to track agency staff time (e.g. check in/check out), GL Suite can support that functionality.

MONITORING-DATA SYSTEMS: GL Solutions can create an interface to enable MPCA to exchange data and information with Monitoring-Data Systems. (For the various methods we employ to create interfaces, see below "Third-Party Interfaces".)

GEOGRAPHIC-INFORMATION SYSTEMS (GIS): GL Suite can enable geocoding of location data to allow for interfacing with a Geographic Information System. It will link to your GIS system to display maps and GeoData for user-identified locations.

EPA DATA-MANAGEMENT SYSTEMS: GL Suite will interface with EPA data-management systems. (For the various methods we use to create interfaces, see below "Third-Party Interfaces".)

E-GOVERNMENT SYSTEMS: GL Suite will interface with E-government systems. (For the various methods we employ to create interfaces, see below "Third-Party Interfaces".)

Supporting Document 8 – GL Portal

GL Solutions will support change management activities using our innovative GL Portal online system, which was configured using GL Suite software. GL Portal provides a foundation for project communication and a framework for maintaining all documentation related to the project, including specifications, uses cases, our Administration Guide, information related to outstanding tasks that we are working on for the WVSOS (for instance, defects, requested enhancements, new license types or business processes, etc.). Agency staff (with authorized security permissions) will be able to log in and have access to project documents, as well a list of tasks and their status (including task progress, expected delivery date, notes about the issue resolution or enhancement implementation, etc.).

GL Portal helps provide agencies with a high-level look at the progress of all their ongoing tasks and projects. This dedicated approach to project management helps reduce overhead costs while keeping agencies informed on the status of the work we are performing for them (including expected delivery dates). GL Portal provides a way for staff to track and monitor the status/progress of individual defects reported or requested enhancements, to review specification documents or business process walkthroughs, or to report new issues as they come up.

GL Solutions' GL Portal service provides an efficient and effective tool for monitoring service delivery. GL Portal is more than a service evaluation device – it is an advanced communication tool that perpetually keeps the lines of dialogue open and encourages consistent interaction between client and software vendor.

GL Suite users will have access to GL Portal, where they can login and submit new issue reports, monitor the status of previously reported defects, and verify the resolution of completed items. The issue report form records the user's name, date the issue was found, and severity level of the issue (including guidelines and definitions to help the user determine the severity level). In addition, the report form will document a brief summary of the issue, a detailed account of the defect and how it was found (including references to user or entity records, location in the application or website, etc.), the user's expected result, any relevant screenshots, the business process where the issue was found and, if applicable, the training material(s) being utilized when the issue occurred.

GL Portal helps GL Solutions to deliver a simple, easy software experience for agencies throughout the software implementation process and beyond, further strengthening the foundation for continuous improvement required to keep up with changing regulatory needs and rapidly-advancing technologies.

Supporting Document 9 – Training Overview

Early-on, GL Solutions will initially train the key staff members at the WVSOS who will be involved with the implementation to orient the agency to GL Suite and to the project implementation, design, and testing processes. And as the implementation wraps up – after go-live – training will be delivered via specific documentation, cheat-sheets, and conference-call walkthroughs (for large projects) related to new or updated systems being deployed. Training can also be ordered and provided on an as-needed basis at quoted hourly rates on various topics ranging from end-user training to in-depth configuration and administrator training.

The descriptions of training services below detail the large-scale training sessions to be included in the implementation just prior to User Acceptance Testing (UAT), but any or all components could be requested and incorporated into the scope of post-go-live trainings described in the introductory paragraph above.

GL Solutions' training objectives are to provide client staff with the knowledge and materials necessary to use and administer the system effectively and to increase end-user ability to perform essential business functions. To achieve these aims, we "show," "tell," "practice" and repeat these steps until trainees gain mastery. This proven training strategy is executed by a seasoned trainer, who is well versed in the GL Suite software, the intricacies of your new system and your needs.

GL Solutions will work with your staff to develop a customized training plan and outline for all training activities associated with your project. Training courses cover basic skills, issues, assessment tasks, and learner outcomes.

Training is designed around practical examples, allowing users to increase their confidence and gain feedback related to their learning of the GL Suite system. While GL Solutions generally recommends a "train-the-trainer" approach to end-user training, we are flexible in our approach and committed to spending time with groups of key users during the User Acceptance Testing period. This approach allows our clients to harness the subject matter expertise of their own staff and direct their internal power-users in mentoring, coaching, and offering support to other staff members, in addition to obtaining the necessary support from GL Solutions' subject matter experts. GL Solutions is a partner in the effective training and development of your staff.

We create our training plans with the end users in mind—trainees will work with concrete examples, allowing them to practice, gain confidence and receive feedback on processes they will use on a day-to-day basis. GL Solutions provides training to trainers on the following topics: system use and application functionality, system configuration (Configuration Manager), all features of the system tool set (reporting, etc.), report generation.

Onsite training typically takes 2-3 days at the start of User Acceptance Testing. Additional onsite training may be provided at go-live, depending on your agency's needs. We will collaborate with your agency in order to create a UAT Plan, which will detail all of the training expectations well in advance of any onsite activities.

As a supplement to our onsite training, we also offer remote training. If clients are short on time, we can conduct the Pre-Navigation training remotely. We can also do remote follow up trainings if desired/needed.

Process for Evaluating Training Effectiveness

Evaluation
Training evaluation is to determine the quality of the training experience. Summative evaluations will be conducted verbally with end users and leads (via course debriefs and meetings) and on paper (at the end of the program) to determine learner satisfaction and engagement in the courses and with the materials.

Assessment
Training assessments ensure that the learner has mastered the set of skills required to achieve work performance efficacy. Training assessments include verbal questioning, post-tests, and practical, hands-on exercises. These self-assessments will allow the learner and the trainer to know where training is still required or sufficient training information was not provided. Daily "lead" check-ins while onsite training is occurring will also provide feedback to the trainer as to specific needs of learners.

Relationship to Outcomes
Specific learner outcomes are outlined at the course and overall training program level. From both perspectives, the learners will be gauged on their ability to perform essential job tasks (within the scope of training) such that the agency can carry out all required business functions using GL Suite.

Documenting User Training
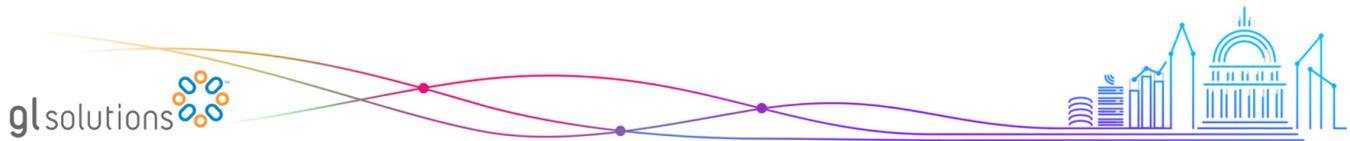
- Trainees will be given a training record document to report on all training received as part of the system training
- Trainees will assess their level of learning and describe what areas they need additional support or help

Assessments

- Trainees will be given "exercises" to complete during the training. Trainees will document the process followed (as a personal reference) and any follow up or questions needed to solidify their learning.

Applying the Learning

- The last day of training each user group will work through the most basic functions of their business process. For example, by the end of training a licensing end user should be able to process a basic application, using the training documentation and the notes taken from the exercises.

Sample Training Outline & Schedule

What follows is an example of a training outline and schedule.

<table>
<tr><td colspan="4" align="center">Sample Training Outline & Schedule
GL Suite System – Application Training</td></tr>
<tr><td>Date</td><td>Time</td><td>Attendees</td><td>Session</td></tr>
<tr><td>Day 1</td><td>9:00 - 9:45am</td><td>All Groups</td><td>Training Kickoff - Introduction & General Overview
- GL Suite Concepts and Terms; Tree View
Home Screen Functions (Search, Query, Quick Pay)
- Reports, queries, correspondences, subforms</td></tr>
<tr><td></td><td>9:45 -10:00am</td><td></td><td>Break</td></tr>
<tr><td></td><td>10:00am - 12:00pm</td><td>Cash Receipts Group</td><td>Business Process: Cash Receipts Business Process
- Demonstrate workflow
- Hands on exercises
- Q & A</td></tr>
<tr><td></td><td>12:00 - 1:00pm</td><td></td><td>Lunch</td></tr>
<tr><td></td><td>1:00 - 3:00pm</td><td>Investigations Group</td><td>Business Process: Complaints Business Process (Complaints, Compliance, Orders)
- Demonstrate workflow
- Hands on exercises
- Q & A</td></tr>
<tr><td></td><td>3:00 - 5:00pm</td><td>Licensing Group Administration Group</td><td>Business Process: Applications Business Process
- Demonstrate workflow
- Hands on exercises
- Q & A</td></tr>
<tr><td></td><td>5:00 - 5:30pm</td><td>SME(s)/Super User(s) (from each group)</td><td>Review and Debrief
Instructions for future days training
Q & A</td></tr>
<tr><td colspan="4"></td></tr>
<tr><td>Day 2</td><td>9:00 - 10:30am</td><td>Licensing Group Administration Group</td><td>Business Process: Reactivations Business Process
- Demonstrate workflow
- Hands on exercises
- Q & A</td></tr>
<tr><td></td><td>10:30 - 10:45am</td><td></td><td>Break</td></tr>
<tr><td></td><td>10:45am - 12:00pm</td><td>Administration Group</td><td>Business Process: Online Verifications Business Process
- Demonstrate workflow
- Hands on exercises
- Q & A</td></tr>
<tr><td></td><td>12:00 - 1:00pm</td><td></td><td>Lunch</td></tr>
<tr><td></td><td>1:00 - 3:00pm</td><td>Licensing Group Administration Group</td><td>Business Process: Registrations Business Process
- Demonstrate workflow
- Hands on exercises
- Q & A</td></tr>
<tr><td></td><td>2:30 - 2:45pm</td><td></td><td>Break</td></tr>
<tr><td></td><td>2:45 - 4:30pm</td><td>Investigations Group</td><td>Business Process: Complaints Business Process (Malpractice Reports, Meetings)
- Demonstrate workflow
- Hands on exercises
- Q & A</td></tr>
<tr><td></td><td>4:30 - 5:00pm</td><td>SME(s)/Super User(s) (from each group)</td><td>Review and Debrief
Instructions for future days training</td></tr>
</table>

Date	Time	Attendees	Session
			Sample Training Outline & Schedule **GL Suite System – Application Training**
			Q & A
Day 3	9:00 - 10:00am	*Licensing Group*	"Test Exercises" – Applications
	10:00 - 11:00am	*Cash Receipts Group*	"Test Exercises" – Cash Receipts
	11:00am - 12:00pm	**Investigations Group**	"Test Exercises" – Complaints, Compliance, Orders, Queries, Reports
	12:00 - 1:00pm		Lunch
	1:00 - 2:00pm	*Licensing Group*	Applying the Learning – Registrations
	2:00 - 3:00pm	*Licensing Group*	Applying the Learning – Reactivations
	3:00 - 4:00pm	*Administration Group*	Applying the Learning – Cash Receipts
	4:00 - 4:30pm	*SME(s)/Super User(s) (from each group)*	Review and Debrief Instructions for future days training Q & A
Day 4	9:00 - 10:00am	*TBD*	Small group or individual help/training
	10:00 - 11:00am	*TBD*	Small group or individual help/training
	11:00am - 12:00pm	*TBD*	Small group or individual help/training
	12:00 - 1:00pm		Lunch
	1:00 - 2:00pm	*Project Team*	Training Debrief Issues Planning for remaining go-live
	3:00 - 3:30pm	*SME(s)/Super User(s) (from each group)*	Check in and review Debrief Issues Identification of specific needs

Process Guide

Client: BUILD

Name of Business Process: Compliance Agent Application

Business Process Notes:

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Typical Process Steps:

Process Starts when: The agency receives a new Compliance Agent Application packet from an applicant.

1 Manual Step - Search for Record. Go to the Main Screen and Search by File Number.

    1.1 Search Main Screen Search - type in the application number or SSN in the File Number field and click the Search button. Alternatively, you may also enter a name into the First or Last Name fields to perform the search. The asterisk (*) may be used as a wildcard in the search fields.

    1.2 Run Command Address Labels

2 Decision Step - Record Found?

    2.1 If 940 Go To Step 3

    2.2 If 939 Go To Step 4

3 Manual Step - Go to Main Screen. Create New Individual.

    3.1 Choose item from menu Record / New Individual

    3.2 Enter Information Last Name:

    3.3 Enter Information First Name:

    3.4 Enter Information SSN:

    3.5 Enter Information Date of Birth:

    3.6 Enter Information Street 1:

    3.7 Enter Information Street 2:

    3.8 Enter Information City:

    3.9 Enter Information State:

    3.10 Enter Information Zip:

    3.11 Note - Enter information for any remaining optional fields.

    3.12 Click Save Button: New Individual.

4 Manual Step - Open Record. Append New Compliance Agent Application.

    4.1 Choose item from menu Compliance Agent Certification Applications / Compliance Agent Certification Application

5 Automated Step - Application Requirements and Invoice Appended.

    5.1 The System Will On append, append the following objects - application requirement tasks, work experience history, criminal history and Compliance Agent Initial Certification Fee.

6 Manual Step - Process Application Fee

    6.1 Click Button Payment Checkout Screen

</div>

6.2 Update Compliance Agent Initial Certification Fee - process the payment. See the Payment Processing process guide for details about processing payments.

7 Manual Step - Upload Fingerprint Form

7.1 Click on Screen in the Tree Compliance Agent Certification Application

7.2 Choose item from menu Fingerprint Forms / Uploaded Document

7.3 Upload Document Link - Click the Upload button and select the path to the fingerprint form. Click Save in the menu to complete the upload.

8 Manual Step - Data Entry. Enter Application Requirements

8.1 Click on Screen in the Tree 12E Compliance Agent Training Entry Level Task

8.2 Update Status - Verify 12E Compliance Agent Training Entry level is met. If confirmed set status to Complete.

8.3 Click on Screen in the Tree Age Requirement Task

8.4 Update Status - Verify the applicant age requirement is met. If so set status to Complete.

8.5 Click on Screen in the Tree Fingerprint Card Task

8.6 Update Status - Verify the Fingerprint Card has been submitted. If so set status to Complete.

8.7 Click on Screen in the Tree Work Experience

8.8 Update Status - Verify that work experience meets application requirements. If so set status to Complete.

8.9 Click on Screen in the Tree Criminal History

8.10 Update Law Enforcement - Update all of the criminal history information that applies and click Save.

8.11 Click on Screen in the Tree Criminal History Task

8.12 Update Status - Verify that criminal history does not disqualify applicant. If so set status to Complete.

9 Decision Step - Application Approved?

9.1 If 948 Go To Step 10

9.2 If 945 Go To Step 12

10 Manual Step - Set Application Status to Denied

10.1 Click on Screen in the Tree Compliance Agent Certification Application

10.2 Update Status to Denied.

10.3 Click Save Button: Compliance Agent Certification Application

11 Manual Step - Application Denied. Send Application Denied Letter.

11.1 Click on Screen in the Tree Compliance Agent Certification Application

11.2 Choose item from menu Correspondence / Application Denied Letter

11.3 Send Standard Mail Application Denied Letter

12 Manual Step - Set Application Status to Approved.

12.1 Click on Screen in the Tree Compliance Agent Certification Application

12.2 Update Status to Approved.

12.3 Click Save Button: Compliance Agent Certification Application

13 Automated Step - License Appended to Record

13.1 The System Will On update to Approved append a License.Compliance Agent Certification

14 Manual Step - Application Complete. Send Letter and Issue License.

14.1 Note - Go to the Main tab to complete the following instructions.

14.2 Choose item from menu Report / Application Approval Notice-Compliance Agent

14.3 Choose item from menu Command / Mark Application Approval Notice-Compliance Agent as Printed

14.4 Choose item from menu Report / Individual Wall Certificate

14.5 Choose item from menu Command / Mark Individual Wall Certificate as Printed

14.6 Choose item from menu Report / Wallet Cards

14.7 Choose item from menu Command / Mark Wallet Card as Printed

Supporting Document 10 – Security

GL Suite Security

GL Suite has been designed with high-security standards to protect your data and applications. GL Suite incorporates leading-edge security that ensures the privacy and integrity of your data.

Control Access

GL Suite provides security at all levels within the system. It allows your agency to easily define system access for staff, so that users see only the information necessary. It enables your administrators to set the rights for different groups of employees to view, create, and/or delete records as well as view and modify specific fields. GL Suite supports role-based rights to run reports, create letters, run batch functions, etc. Changing or granting an employee permissions is as simple as adding a new role to their user profile.

Every screen and field in the system can be configured to one of the following security permission types:

- Hidden: Screen or field is not displayed in the application. The user cannot view or edit this data.
- Read-Only: Screen or field is displayed in the application, but the user cannot edit the data.
- Read-Write: Screen or field is displayed in the application and the user can enter, edit, and/or delete the data.

Using GL Suite security, you can easily control which cases employees can view or who can change a license status.

Set permissions on reports, correspondence, queries, batch functions and literally every other functionality of the system, including business rules. For example, a license status cannot be changed if the licensee has not fulfilled the requirements for the license. Exceptions can be handled, so that such a rule applies only to specific users or groups but not licensing managers.

Groups can be configured to represent organizational sections or specific responsibilities in your agency. Common user groups include licensing managers, licensing employees, cash processors, cash manager, enforcement staff, etc. You can assign a particular employee to one or more user groups, and they will be granted permissions for all the groups to which they belong.

Confirm User Identity

User authentication occurs via a login, integrated Microsoft Windows authentication, or LDAP directory authentication. Your agency can choose the authentication method that is best for your network environment.

Secure the Perimeter

GL Suite supports robust network and database security settings that protect against unauthorized intrusion. Once authenticated, GL Suite uses a system account to allow the web/application server to
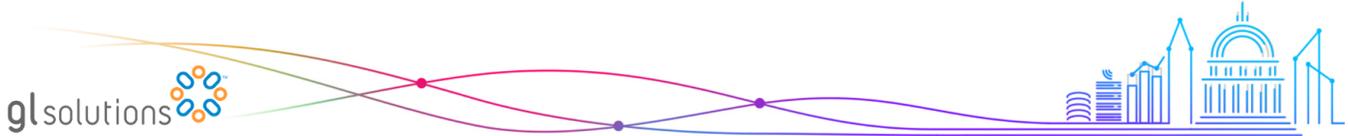
communicate to your database. You need not grant access to the database to any user other than the web server's system account.

GL Suite's n-tier, XML, web services architecture allows network administrators to completely isolate user requests from the database server.

Application Security

Security was our paramount concern when we designed GL Suite. Its 3-tiered architecture provides elevated security because it allows physical separation of tiers into sub-networks. This enables each tier to be isolated behind different firewalls and creates a robust defense against SQL injection and other common attack scenarios. Notably, our Database tier is the only access method to SQL Server. This permits SQL Server to be physically isolated from the Business and Presentation tiers—an ideal feature for security.

GL Suite security features include:

- User Authentication options such as LDAP, SQL Server Database, and ADS.
- Extremely granular system security, to the extent that changes can be made to every component on a page. For example, agencies can set different security to access or change each license type that they manage.
- Token-based authentication methods, which enhance user security by circumventing the need to send user names and passwords over the internet.
- Maintains encrypted data in the database itself (e.g. encrypted Social Security Numbers).
- Each tier— Presentation, Business, and Data—has its own layer of security and each is separated from the other with a firewall.
- HIPAA compliant to ensure the confidentiality and security of protected health information when it is transferred, received, handled, or shared.
- GL Suite application components access the RDBMS using best-practices for MS SQL Server security.
- Third party tested and certified against SQL injection attacks.
- Multi-level security establishes secure connections between the application, clients, and web servers using Secure Sockets Layer (SSL) certificates.
- Both the GL Suite application and any public-facing websites that access your data use Hypertext Transfer Protocol Secure (HTTPS), ensuring that all data sent between a user and your organization is encrypted and secure.
- All documents saved, uploaded, and/or created in GL Suite are obfuscated and do not allow directory browsing, preventing intruders from accessing non-public documents.

Server Security (for Environments Hosted by GL Solutions)

Your data's security is critical to your operations. GL Solutions takes the responsibility of hosting your data seriously, and invests ample resources to protect your agency. GL Solutions contracts with internet security experts—the same experts that secure financial transactions for many commercial lending institutions—and

uses the most robust security tools available in the technology market today. Regular security audits assess all systems for potential vulnerability, too.
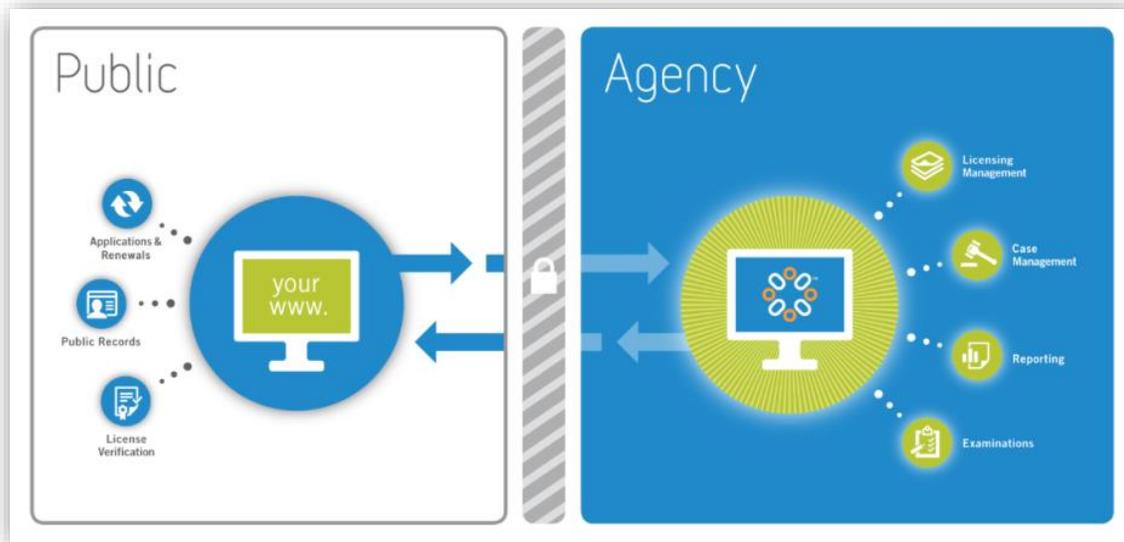
Website Security

GL Suite's server environment was designed and configured after consultation with network security specialists. GL Solutions' infrastructure provides a firewall with two secure network zones: a private network and a DMZ. GL Suite utilizes public key encryption technology to ensure data security. Access to the internal network is available only through a secure VPN connection. Communication protocols require a minimum 128 bit Secure Socket Layer (SSL).

Specific security precautions include:

- Retention of an independent internet security firm to audit, analyze, and monitor network security needs.
- Installation upgrades on security hardware and software as soon as they are available.
- Installation of security patches from Microsoft on a daily basis or as soon as they are released.
- Utilization of physical network hardware including a combination of firewalls to limit potential avenues of attack.
- Isolation of the database server, where your real data exists, to further protect your agency's data.
- Adherence to Microsoft best-practice guidelines for implementing application security.
- Daily backup of data from the servers at onsite and offsite locations, enabling fast, painless data restoration if needed.
- Monitoring servers for unusual activity that would indicate a possible security breach.
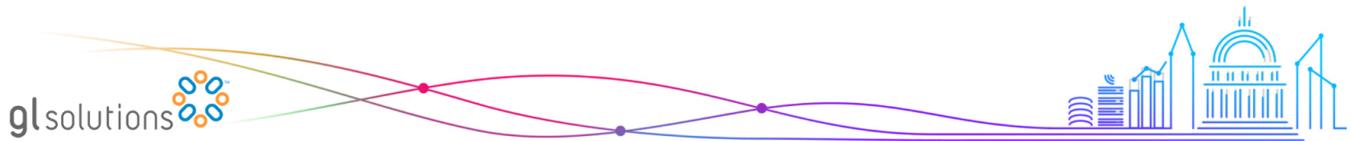
Physical Security

GL Solutions maintains its backup data at OneNeck, Bend Broadband's ultra-secure data center. OneNeck is an offsite, Tier III certified data center and exceeds the highest standards for operational security and stability, as set by the Uptime Institute, the world's authority on data security. OneNeck features a 24/7 live security staff, biometric access, more than 50 high-definition closed-circuit cameras and real-time tracking of staff and visitors.

Staffing Security

All access to client data from within our network is restricted. GL Solutions' staff is required to maintain compliance with internal security protocols to ensure data and equipment security. Upon employment, staff must sign a confidentiality agreement. In it, staff members agree to adhere to established procedures and policies related to working with sensitive information. To develop these procedures and policies, GL Solutions consulted:

- Microsoft Security Essentials (see, http://www.microsoft.com/security/pc-security/mse.aspx)
- Internet Engineering Task Force (see, www.IETF.org)

Contents

1. Introduction

1.1. Purpose

<Client> and GL Solutions ("the parties") intend for this Management Plan to describe the software project methodology that will be used to implement a software system defined by the project requirements in the Goals and Scope Document. The software design and development will be managed by two documents, the Management Plan and the Goals and Scope document. The signed contract between the parties supersedes the Management Plan and the Goals and Scope document and neither of these documents intends to break or change the contract, only to provide further guidance of the contract requirements. This plan identifies roles and allocates responsibilities among the parties.

The Management Plan includes:

- Project management activities
- Software training activities
- Software testing activities
- Software implementation activities
- Software deployment activities

1.2. Related Documents

The agreement between the parties consists of a set of contract documents. The Management Plan and the Goals and Scope Document are intended to help each party understand and agree on the meaning of the contract terms. As the project proceeds, the parties will develop and accept increasingly specific project documents that define contract performance requirements.

The Goals and Scope document further refines the contract's meaning related to software functionality requirements. The Management Plan further refines the way the parties will work together to complete the contract. When there are conflicts between the contract and the Management Plan or the contract and the Goals and Scope Document, the parties agree that the contract prevails. If there is ambiguity or if the Management Plan or Goals and Scope documents can be understood to be consistent with the contract, the parties intend for the terms of the Goals and Scope document and/or the Management Plan to prevail as the definition of performance under the contract.

The overall intent of this process is to memorialize the meaning of the contract, down to the smallest details, beginning with the Goals and Scope and Management Plan documents through design, development, and testing processes. If all requirements are properly elicited and processes followed, there should be no need to question whether a contract requirement has been fulfilled, because the parties made sure the contract was defined and fulfilled along the way.

1.3. Project Priorities

Software projects require balancing of schedule, functionality, quality, and cost to achieve the overall objectives of the project. This document describes the parties' prioritization of these factors for this project. The parties agree to the following project priorities in order of importance for the resolution of conflicts among the priorities: Schedule, Functionality, and Quality. The parties agree to make decisions about the implementation methodology that reflects this prioritization, knowing that tradeoffs must be made to accomplish the project.

1.3.1. Schedule

The project schedule estimates when the project will be ready for use by the agency in a production capacity ("Go-Live date"). The project schedule will be updated, as necessary, during the acceptance process for the initial project documents.
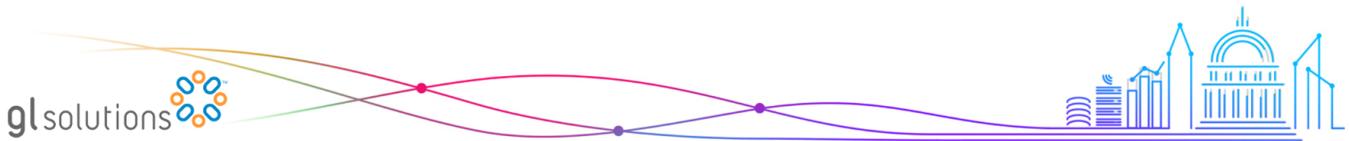
GL Solutions has developed an online portal (GL Portal) for clients to use to monitor project schedules, action items, risks, upcoming payment milestones, and issue tracking. The project schedule will be monitored online through GL Portal. GL Portal will allow <Client> to see schedule changes immediately.

Project schedules are impacted by various factors and specific task dates may move during the implementation. Changes to the initial Go-Live date shall be accomplished through the automatic rescheduling of work required by GL Solutions as the project progresses in addition to the Change Management Process.

Critical project dates have fixed-dates of activity around which the project must be scheduled. The parties declare the following critical project dates:

Party	Event	Schedule Impact	Date(s)

The parties acknowledge that when either party misses a deadline, the project schedule, including the overall Go-Live date, will move. Because both parties have other, concurrent workplace activities, the length of delay caused by schedule slippage may not correlate to the length of delay. Both parties will make reasonable efforts to accommodate schedule slippage by the other party to accomplish the project with the least impact on the project duration.

The following activities drive the project schedule and require the project to be rescheduled when missed:

Party	Activity	Timeframe Days = Business days	Comments
Agency	Review and accept/reject specifications	10 days from the date delivered by GL Solutions	GL Solutions will return specifications 5 days after specifications are rejected by Agency.
Agency	Attendance of Subject Matter Expert (SME) at design review meetings	2 meetings per week until specifications have been accepted	Parties will agree to standard date/time for solutions analysis meetings. Parties agree to meet every _____ and _____ for two hours from ____ to _____ throughout the Solutions Analysis process. GL Solutions will send an agenda of subject areas to be addressed and Agency will ensure that SMEs attend the meeting. GL Solutions will automatically reschedule the meeting along with the rest of the project, including the Go-Live date, as necessary, to accommodate missed meetings or lack of attendance by SMEs.
Agency	Respond to design questions	3 days following question being asked by GL Solutions	
Agency	Provide output and interface samples	3 days following the initial interview where the output or interface was identified	Any output samples that can be provided during the onsite requirements gathering trip will assist in meeting the project schedule
Agency	User Acceptance Testing (UAT) testing complete	25 days from start to finish; 2-4 hours a day is	

	and reporting of issues	dedicated by end users to UAT testing during the 25 day time frame	
GL Solutions	Resolve severity 1 and 2 issues from reported UAT items	Prior to Go-Live	
Agency	Test to confirm severity 1 and 2 issues are corrected	2 days from the date GL Solutions reports that the issue is resolved	
Agency	Provide final data to GL Solutions	2 days prior to Go-Live	

*Note – reference to days in this document assume Business Days.

1.3.2.   Functionality

Functionality contract recruitments are defined in the Goals and Scope document.   The Goals and Scope document identifies the areas of functionality, or business processes, to be designed and specified. The Project Requirements Forms (PRF) are created from the Goals and Scope document, and then the specifications are created, using the PRF, which result from the Goals and Scope document. Once accepted by the Agency, the specification documents become the sole definition of the software functionality. The parties agree that the specifications define the acceptable performance of the software. Changes to accepted specifications shall be accomplished exclusively through the change management process.
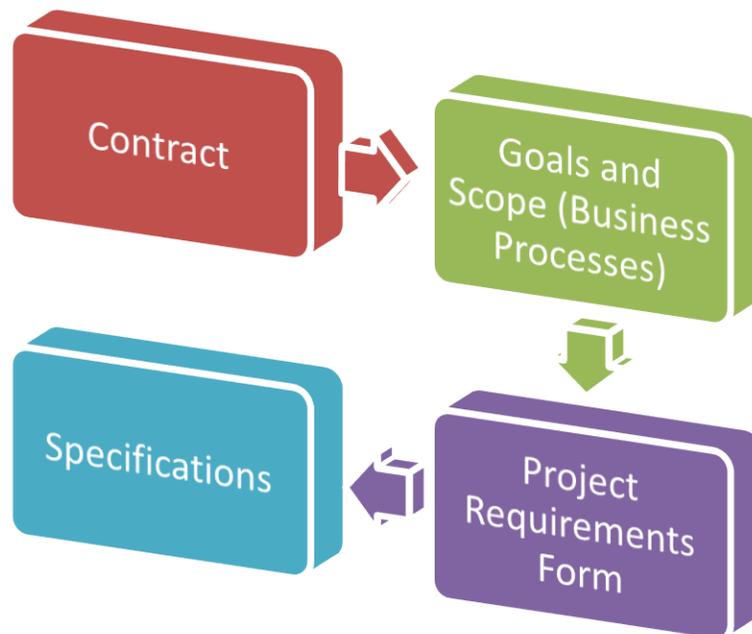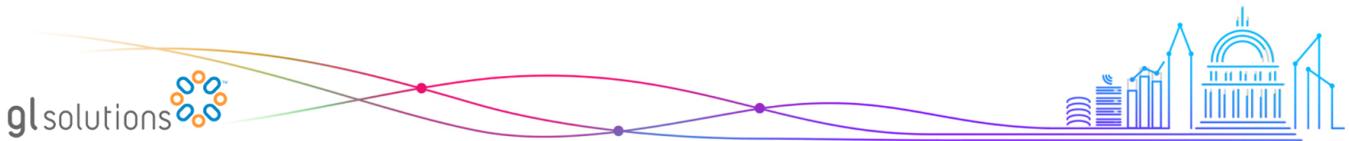
1.3.3. Quality

The everyday understanding of quality typically means that the software functions in a way that allows the Agency to operate. That definition of quality does not apply to a software project. In a software project, quality means that the software performs as specified. More than half of all effort in a software project is consumed creating mutually understood and accepted specifications which define what quality means exactly. GL Solutions' software implementation and project management methodology are designed to derive quality from the contract requirements, and then to reduce those requirements to ever more specific requirements until the level of specificity can be implemented as instructions (configuration settings) to a computer application.

For this reason, project quality begins with a generalized project goal as defined by the contract. If the contract is incomplete, poor quality will result because the contract did not procure software with the functionality necessary to allow the agency to operate. Because the functional requirements in the contract are subject to many interpretations and understandings, more detailed specifications must be written to comprehensively understand what the contract intended. Technical specifications are intended to entirely describe the business requirements at a detailed level. The Agency, project staff, developers, and testers will all rely upon these technical requirements as the most comprehensive and definitive definition of quality. While Agency employees may have an idea or unspoken expectation of quality, these expectations must be reduced to a written and testable form – namely accepted technical specifications. So, in this project, GL Solutions and the Agency define quality as software that functions according to accepted technical specifications.

GL Solutions attempts to mitigate quality problems in a number of ways including utilizing best practices and lessons learned from other similar agencies, establishing quality control checkpoints for specification writing processes, demonstrating software prototypes, and writing specifications as clearly as possible. Even so, discrepancies may occur and change requests may follow.

Even if Agency needs could be perfectly reduced to an accepted technical specifications, Agencies and software firms face challenges actually testing the software to confirm the functionality. The average GL Suite installation includes more than 500 screens, thousands of fields, and tens of thousands of business rules and security settings. At times, rules may conflict with one another. Some defects emerge only with unusual combinations of data. Technical specifications may be misinterpreted even when highly detailed. Confirming that the software functions exactly in accordance with approved specifications is almost impossible.

For all of these reasons, acceptable project quality should maximize the ability of the Agency to operate, in the shortest time possible, with an optimal level of effort. The level of effort necessary by the Agency and GL Solutions to identify all defects exceeds the value of a defect free system to the agency. The UAT exit criteria define this blend of factors determining acceptable quality. The UAT exit criteria are intended to allow the system to Go-Live even when some functional variation exists between the software and accepted technical specifications. Systems successfully Go-Live with functional specifications that do not entirely meet the original expectation of the Agency. Knowing the inevitability of software outcomes, GL Solutions has created GL Suite with frequent incremental changes in mind, so that users could create and enhance the system easily, even after Go-Live and having experienced the software. Hands-on experience and incremental correction is the most efficient and effective means of producing the level of software quality the Agency actually needs.

The parties agree that the UAT exit criteria, as defined in the UAT plan, shall constitute an acceptable level of quality to meet the requirements of this contract. Changes to the accepted UAT Plan shall be accomplished exclusively through the change management process.

1.4. Project Participants

During the project, the following roles will be responsible for project execution:

Party	Role & Named Individual	Responsibilities

	(where applicable)	
GL Solutions	CEO	• Resolve contract disagreements • Resolve conflicts • Approve risk mitigation plans
GL Solutions	Service Delivery Manager	• Resolve conflicts • Escalate issues
GL Solutions	Technical Analyst	• Identify project risks • Manage scope, schedule, risk, and billing change processes • Manage change management process
GL Solutions	Agency Partner	• Listen and respond to project topics as primary project management contact for GL Solutions • Review and communicate schedule and upcoming events • Prepare, facilitate, and memorialize status meetings • Provide all necessary training • Assist during UAT • Escalate issues
Agency	Executive Director	• Create a positive project culture and agency-wide support for a successful implementation • Resolve contract disagreements • Resolve conflict
Agency	Project Manager	• Resolve conflict • Attend project status meetings • Provide project leadership
Agency	Business Analyst	• Compile all required supporting materials including samples of reports, correspondence, and forms
Agency	Subject Matter Experts	• Describe business processes and requirements • Provide Design Approval • Provide Specification Acceptance
Agency	IT	• Produce legacy system data • Assist with data transfer technical questions

GL Solutions meticulously plans resources in scheduling implementation, but does not assign any individuals in-full to any projects. Instead, teams of employees with specific expertise are utilized to ensure that bottlenecks are avoided as the work on many concurrent projects progresses.

2.   Project Lifecycle

This section of the Management Plan outlines the installation processes required for GL Solutions to implement all project functionality and related services to fulfill the installation requirements, in accordance with the Goals and Scope document. The project will follow GL Solutions' defined project management methodology. By consistently following processes in this and other projects, GL Solutions promotes project efficiency and success among many clients.

2.1.   Project Milestones

Project Initiation

- Initiation Meeting
- Project Analysis
- Goals and Scope document
- Management Plan

Design

- Business Process Design
  - o Requirements Gathering
  - o Design
  - o Design Review
  - o Design Approval
- Security
- Report, Correspondence, and Subform Designs
- External Interfaces and Customized Functionality Design (if included)
- Public Website Design

Development and Testing

- Configure Rules
- Develop Custom Functionality
- Unit Testing
- System Testing
- Public Websites
  - o Development
  - o Unit and System Testing
  - o User Acceptance Testing

Data Conversion

- Conversion Design
- Conversion Development
- Conversion Testing

User Acceptance Testing

Go-Live

- Final Conversion
- Migrate to Production
- Environment Readiness
- Training
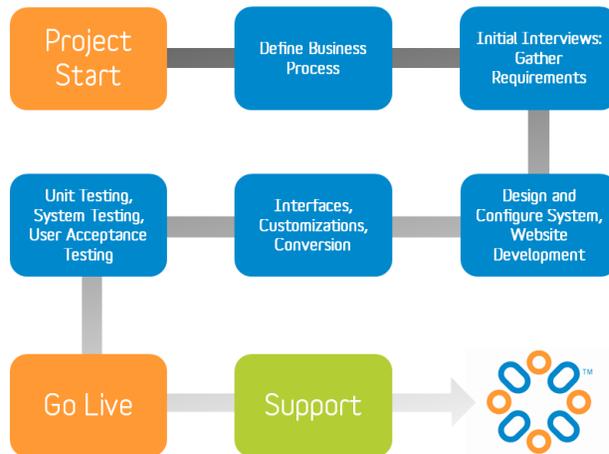
2.2. Project Initiation

Project initiation is intended to identify how the software will be implemented. This phase ensures all parties are in agreement on the methodology and all other areas of the software implementation. Project initiation is the first milestone in the project lifecycle.

2.2.1. Initiation Meeting

The Initiation Meeting includes an introduction of the project team, the project overview, the roles and responsibilities, the goals for the project, and any next steps. GL Solutions will dedicate an Agency Partner to the life of the implementation. Additionally, GL Solutions will assign business analysis, development, configuration, and testing team resources as needed. <Client> will dedicate a primary contact for the project that will be expected to make decisions for the project. <Client> will also assign appropriate SME's for business requirements gathering, design approval, and specification acceptance. Any change in dedicated resources will be communicated between GL Solutions and <Client> in writing.

2.2.2. Project Analysis

Project Analysis includes pre-implementation project activities such as the business process definition interview and creating a project scope of work that will be incorporated into the Goals and Scope document. Products of this process include:
- Breakdown of work in project steps
- Basis for the Goals and Scope document

2.2.3. Goals and Scope Document

The Goals and Scope document will identify a comprehensive list of business processes to be configured to meet the requirements of the project and any other items agreed to be within the goals and scope of the project. GL Solutions may subdivide the high level processes into discrete business processes that align with GL Solutions' software application use and configuration methodology. These business processes may be adjusted if GL Solutions determines certain processes need to

be condensed and/or separated. Any changes made to the business processes identified in the approved Goals and Scope document will require approval by <Client>.

Software projects require clear, mutually understood objectives in order to produce the expected outcome. The contract, Goals and Scope document, and specifications are created to refine all objectives. Each subsequent document relies on the accuracy of predecessors. The documents are intended to replace the need for reference to predecessor documents. This allows for the parties to be sure that all deliverables are included along the way. Without this progressive refinement of requirements, scope, quality, and timeliness of the project will be lost as the parties struggle to understand vague functional requirements in the contract at the end of the project.

2.2.4.   Management Plan

The Management Plan documents how the parties will work together. It will be used as the working foundation for the partnership. The Management Plan documents the necessary implementation steps to achieve these goals. It defines the roles and responsibilities for both the Agency and GL Solutions, sets clear expectations for all work to be done on both sides of the partnership, and provides a functional framework for the relationship moving forward. It includes an outline for how the project will be analyzed, designed, configured, integrated, tested, accepted, and deployed. The Management Plan will identify the initial schedule for the project broken down by work area as agreed by both parties.

2.3.   Design

Party	Role & Named Individual (where applicable)	Responsibilities
GL Solutions	Technical Analyst	• Identify and confirm requirements traceability • Identify project business processes and high-level deliverables • Process scope, schedule, risk and billing changes
GL Solutions	Business Analyst	• Gather business requirements • Create business and technical specifications • Configure screens, specify business rules
GL Solutions	Quality Assurance Team	• Analyze client reported UAT and stabilization defects, then classify issue severity in accordance with the agreed upon definitions
Agency	Subject Matter Experts	• Describe business processes and requirements • Provide Design Approval • Provide Specification Acceptance

2.3.1.   Business Process Design

GL Solutions organizes work by business process projects defined in the Goals and Scope document. For every business process identified, GL Solutions will conduct sessions with the Agency in order to understand the software requirements and demonstrate the functional design, produce design documents describing the design of the GL Suite application, and submit the design specifications for <client> approval.

The design process is repeated for each identified business process corresponding to the following general steps:

- Requirements Gathering
- Design
- Design Review

- Design Approval

Key factors that determine the success of the business process design process are as follows:

- Parties communicate openly and promptly whenever new information is identified, recognized as missing, or necessary in order for the specification process to proceed.
- Agency provides a timely response to GL Solutions' requests for information or artifact/samples
- Agency alerts GL Solutions in writing to all missing fields, rules, and other functional requirements in response to GL Solutions' request for Design Approval
- GL Solutions promptly and accurately corrects missing or defective functionality
- GL Solutions and Agency stakeholders ensure that each business process meets and is limited to applicable requirements traceability items from the Goals and Scope document

In order to facilitate an efficient review of a specification, the <Client> agrees to report all specification defects in writing following the first review of the specification document. Defects which could have been discovered, but were not raised in the first review, will not be considered defects by the Agency or GL Solutions. Without a careful first review, specification iterations cause project schedules to slip dramatically.

Contract
- Contract
- RFP and Exhibits
- Response

Initiation
- Management Plan
- Goals and Scope Document

Design
- Requirements Gathering
- Design
- Design Review
- Design Approval

Software
- Development per spec
- Requirements Traceability
- Scope and Schedule Control
- Testable Quality
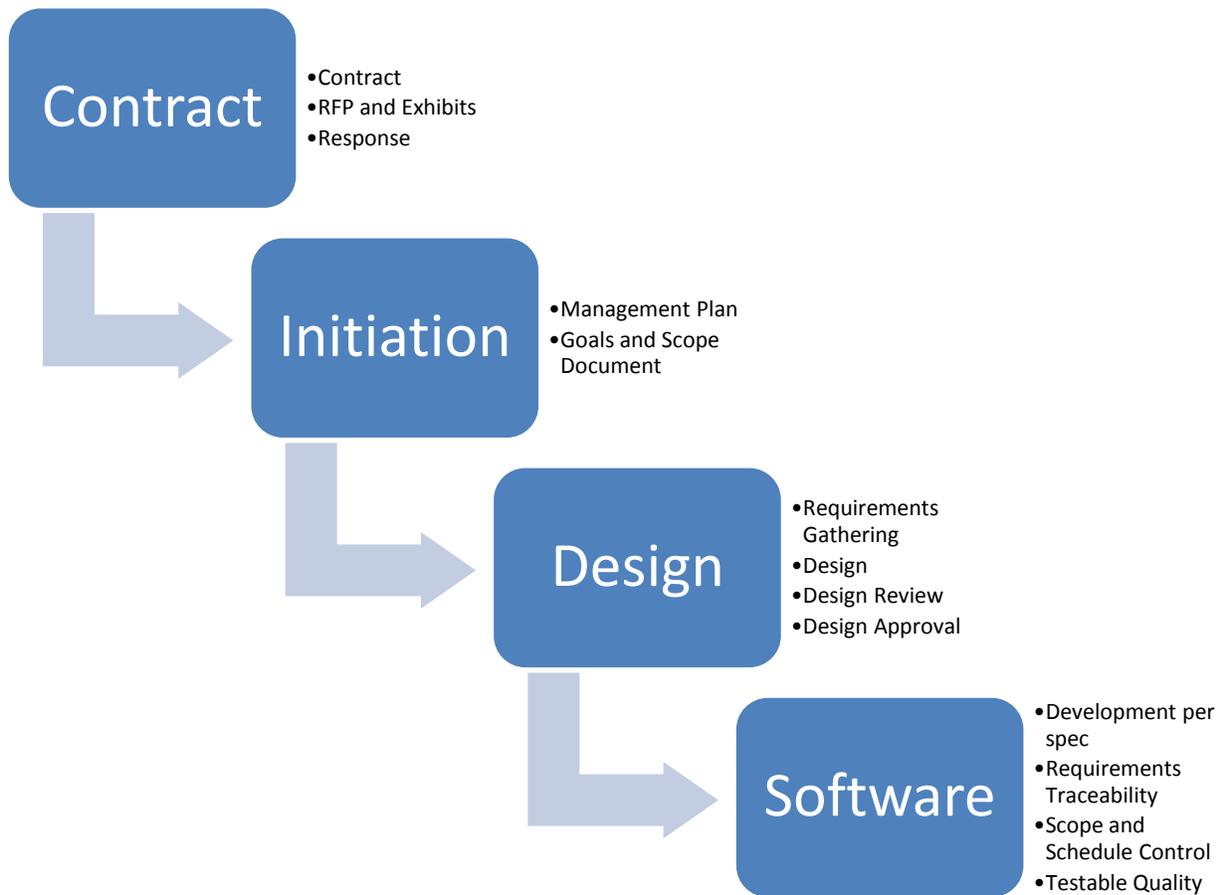
2.3.2. Requirements Gathering

Requirements Gathering is the initial step of the Design process and is used to gather the information necessary for GL Solutions' staff to understand Agency operations, terminology, and software application requirements. Through this process, GL Solutions' Business Analysts obtain the information necessary in order to design a process that will meet the requirements identified in the Goals and Scope document.

Requirements Gathering begins with the completion of a business process questionnaire designed specifically for the type of business process to gather information about the Agency's business process requirements. The questionnaire also includes a section listing all of the requirements for the current business process, and any questions the Business Analyst may have to clarify any requirements. The questionnaire may be provided for the Agency to complete in advance of a requirements gathering meeting, or may be used exclusively by GL Solutions' staff to identify areas of uncertainty in order to focus any specific discussion. During the requirements gathering meeting, which typically lasts approximately 90 minutes, GL Solutions' staff will obtain any additional clarification that is necessary for the design. GL Solutions typically performs all requirements gathering meetings onsite with a client at the beginning of a project.

Additionally, during the Requirements Gathering meeting, the Business Analyst will facilitate a review of the Agency's legacy software screens currently used by the Agency to execute the process. The Agency is required to show GL Solutions all activity included in the process along with all data collected to complete the business process, which enables GL Solutions to identify existing functionality and detailed data requirements, including data fields. The session is recorded so that that the Business Analyst may subsequently refer back as necessary while completing the design. GL Solutions does not intend to recreate an Agency's legacy software. Reviewing the legacy screens merely helps the Business Analyst to understand the current needs so that nothing is overlooked.

During the Requirements Gathering phase of the project, the <Client> Team will provide information and documents that describe the project, including the following material:

- Listing of application and licensing requirements by license type
- Copies of existing/required letters, reports, and forms (need to be in electronic format and identified with a specific business process). These samples need to be sent to the Business Analyst no later than a day after the initial interview for the project, otherwise the project may require rescheduling
- Samples of existing external interface file format (electronic format)
- Listing of user groups and/or audiences with permissions or responsibilities for each business process

If preliminary information or document samples are readily available, the <Client> Team will provide those to the Business Analyst prior to the requirements gathering meetings.

2.3.3. Design

Design for the business process begins when Requirements Gathering has completed. Using the information obtained, GL Solutions Business Analysts will configure the GL Suite application functionality to 1) meet the requirements of the business process as defined by the accepted Goals and Scope document, and 2) utilize and conform to GL Solutions' COTS solution architecture and established best practices.

2.3.3.1. Business Process Requirements

The design of the system is directed and constrained by the requirements in the accepted Goals and Scope document. GL Solutions' Business Analysts conform to these documented requirements in the design to ensure that the functionality of the system accounts for each of, but no more than, the written requirements. This ensures a strict adherence to the scope of the project.

2.3.3.2. Adherence to COTS Solution Architecture and Best Practices

As a Commercial Off-The-Shelf (COTS) product, the GL Suite software is differentiated from custom software in that it provides for a wide range of functionality due to its design as a highly-configurable enterprise software product, and does not require customization to the software application itself. Therefore, the design of the application will reflect many of the standard elements of a COTS product, including screen colors, layout, and menu navigation. This will be especially apparent when migrating from much more iteratively-developed, problematic, costly, and error-prone custom software applications, where usually every element is needed to be designed and built.

Additionally, applying software best practices is tantamount in the success of all software designs. GL Solutions has gained extensive experience that is compiled in a growing and improving catalog of GL Suite best practices. GL Solutions continually refines and employs these best practices to create a stable and robust system. Additionally, Business Analysts at GL Solutions' apply these standards consistently in the design of every business process. Adherence to these standards by the Business Analysts is required in order to produce a supportable, well-designed system.

2.3.3.3. Process

GL Solutions' Business Analyst(s) will begin the business process design by creating a business process diagram that documents the specific workflow of the <Client> business process. Based on a documented best practice from GL Solutions' library, this workflow diagram provides a detailed overview of how the manual operations of staff, specific outputs of the system and automated functions of the GL Suite application will perform the business process.

Using the GL Suite configuration application, the Business Analyst(s) will design the system by configuring screens, fields, relationships, and security; identifying and producing documented automation (business rules); and creating a technical specification (also known as the Self-Documenting Specification "SDS"). Additionally, the Business Analyst(s) will create a process guide, which is a one or two page step-by-step walkthrough of how to use GL Suite to complete the business process.

Work to be done by GL Solutions for each business process during the Design phase includes:

- Business process diagram
- Process guides
- Final screen configuration including related data field definitions
- Final configuration of security groups, screen and field based security settings for add, delete, and update permissions
- Final configured menu and tree navigation elements
- Technical specification (Self-Documenting Specification)
- Detailed specification for user interface customizations
- Identification and menu placeholders for reports, correspondence, external interfaces, and custom developed user interfaces

During the Design phase, it may be necessary and most expedient for a Business Analyst to work directly with <Client> staff as questions arise. As such, <Client> staff may expect to be asked to respond to various requests throughout the design of the business process, including:

- Business level definitions for each issue requiring specification during the phase
- Assisting in the identification of detailed functional requirements for custom developed interfaces

2.3.4. Design Review

Once the Design has been completed, GL Solutions' Business Analysts will meet with the <Client> team in order to review the business process flow and project requirements form interactively, typically utilizing teleconferencing (such as GoToMeeting)

and shared screens. This Design Review meeting primarily supports the ability for the <Client> team to offer feedback during the Design Approval activity. As the design is reviewed, limited design feedback and correction may also occur where the design fails to meet the project requirements or requirements traceability.

The typical Design Review meeting lasts for ninety minutes and occurs once for each business process. GL Solutions may choose to hold a single design review meeting for multiple, similar business processes. The meeting can be waived if requested by the client or if there are no substantive differences between the business process and another business process already approved by <Client>. At the discretion of the GL Solutions' Business Analyst(s), additional meetings might be deemed necessary and may be scheduled, though the review can be accomplished during the expected time in nearly all circumstances.

<Client> attendance and participation in the meeting is essential. The Business Analyst will facilitate the demonstration of the design during the meeting to the designated <Client> SME and client contact responsible for Design Approvals (if not the SME). Occasionally, GL Solutions or <Client> project management staff may also attend, as necessary, in order to help facilitate a meeting.

The Business Analyst will invite the appropriate <Client> stakeholders a minimum of 24 hours in advance of the meeting, and will provide copies of the agenda and the business process diagram. Prior to the meeting, <Client> team will review the material to become familiar with the general design in accordance with the project requirements as stated in the Goals and Scope document, Project Requirements Form, and Requirements Traceability.

The scope of the meeting is a structured review of the business process diagram created by the Business Analyst for the business process(es) listed on the agenda, a review of how every project requirement in the Requirements Traceability table is met by the design, and screen reviews as they become available. During the meeting, the <Client> team should note exceptions when the flow does not address a specific, written project requirement as stated in the Project Requirements Form and Goals and Scope document, or will not enable the agency to execute the process because of a workflow design error in the business process diagram. This feedback must be received in writing to ensure the requested design updates are incorporated in the design documents.

Additionally, the limited time of the meeting requires that the structure of the meeting be adhered to. Discussion of topics not germane to the design review will make it unlikely that the design will be reviewed in full, but will still result in submission to <Client> team of design documents for formal Design Approval.

In the meeting, the Business Analyst will begin the Design Review by reviewing each step of the workflow diagram. Any output (report, letter, etc.) included in the diagram will be emphasized, along with other additional manual or automated steps.

2.3.5.   Design Approval

During the Design Review, the Business Analyst may have taken notes regarding updates necessary for the Design. Any changes deemed necessary will be made in order to finalize the Design for Design Approval by the <Client> team. Once the Design is finalized, the Design documents including the workflow diagram, process guide, technical specification, Project Requirements Form (PRF), and a Design Approval Response Form (DARF) will be uploaded to GL Portal and Design Approval requested from the <Client> team.

The client will have 48 hours in which to reject the entire DARF submission if egregious omissions or errors exist in the design documentation such that a review would not be possible. Reasons to reject an entire design submission are limited to the following:

> 1. One or more of the design documents has required sections that have been left blank, or template text that has not been updated for the current design.

> 2. The PRF submitted for approval does not have its Requirements Traceability matrix filled out, or it is incomplete.

3. The design contains fundamental issues that will not allow for review of the design documents. Allowable reasons for this are:

      3a. More than 50% of the Business Process Visio is incomplete or in error.

          Note: This does NOT include updates to the text within Visio shapes, or Visio shapes that define manual steps for Agency Staff.

      3b. Four or more consecutive GL Suite process steps are missing on the Business Process Visio.

In order to reject the entire design approval submission, <Client> will need to call the Agency Partner.

From the date that the Design Approval has been requested, <Client> will have the number of days specified in this document in order to review the workflow diagram, process guide, technical specification and updated PRF, and to either Approve or Reject the Design using the accompanying DARF. The response form requires the client team to submit the following information:

- The status of the Design Approval – approved or rejected
- The specific area of the rejected design document to which each deficiency relates
- The PRF contract requirement number to which each deficiency applies
- A description of each deficiency found to be in contrast to the requirement
- A description of the action requested to resolve each deficiency

Any and all deficiencies are required to be included, in writing, within the first response cycle by <Client>. On any subsequent Design Approval cycle, any previously-unreported deficiencies may not be raised. Failure to respond to the request for Design Approval within the required response timeline may result in a reschedule of the project.

If the Design is received within the required timeframe and rejected by the <Client> team, the Business Analyst will review each conforming contract deficiency stated in the DARF and correct the design to meet the stated contract requirement. Within the timeframe stated in this document, the Business Analyst will note the changes made to the Design in response to each contract deficiency documented by <Client>, resubmit the Design documents to GL Portal and request Design Approval. Again, the <Client> team will respond to the Design Approval in writing within the agreed to timelines, approving or rejecting the Design and, if necessary, providing any additional feedback to clarify the reason for rejection of the resolution of any previously-reported deficiency. The cycle repeats until the Design is approved.

Once approval is received, no further changes to the design will be accepted within the scope of the project.

Caution! Acceptance of specifications means acceptance "as is" -- that is, as documented in the specification at the time of acceptance. The agency should never accept specifications based on assurances a specification will be updated, or provide "conditional acceptance" – which will likely result in the omission of the requirement. Written specifications should be 100% correct when accepted.

Upon approval of each detailed functional specification for each business process, GL Solutions will send the specification(s) to the Development team.

2.3.6. Design Changes

When completing the DARF, the agency will likely uncover a number of problems with the specification. Most agencies find that every review of the design documents uncovers some number of additional defects or enhancements. During the Design Approval process, the client may enter requested enhancements on the Design Enhancements tab of the DARF. For items reported on the Design Defects tab (of the Design Approval Response Form) that do not meet the Definition of a Defect, GL Solutions will move those items to Design Enhancements tab. GL Solutions will categorize on the DARF the following types of enhancements noted by an agency:

- **Not Accepted** – GL Solutions will reject a defect noted by the Agency if the request would prevent the application from functioning correctly or the agency's issue is unclear.
- **No Cost Change Request** – GL Solutions will allow certain, small look-and-feel changes without charge such as label text, field order, security, etc.
- **Acceptance Process Change Request** – Issues that are functionally within the scope of the contract, but were not reported during the first round of defect reporting by the agency on the DARF. These items will be provided as a change request to the Design approval process which required a single and complete defect reporting instance.
- **Requirement Change Request** – Issues that are not within the functional requirements of the contract. These items require a change request to modify the scope of work, PRF, design documents and to provide the new or modified functionality.

All change items segregated during the design approval process require a change request. These changes are typically incorporated into the design immediately following the first acceptance of the design document.

- **No Cost Change Request** items GL Solutions will allow include:
  - The label (i.e. text name) of a property on a screen or the text name of a screen itself
  - The name of a collection (i.e. folder) in the tree
  - The order and values shown for screens inside collections in the tree
  - The order of properties as they appear on a screen
  - The size or color of properties as they appear on a screen
  - The tab order of properties when tabbing through a screen
  - Changing the Append, Select, Update or Delete security permissions for a property or screen for a specific security group. (Not adding or modifying a security group itself.)
  - Misspellings or grammatical errors
  - One or more required screens needed to successfully complete the process, including: new requirements or new document objects. Note that new one-screens, objects not directly related to the successful completion of the current process, or optional objects are not automatically allowed as defects.
  - The reordering of Process guide or Visio steps.

2.3.7. Security

Security in the GL Suite application assigns the level of activity each role can have for the system. GL Solutions configures security during the design of business processes, including all security groups. The Business Analyst will create the security groups and the staff in GL Suite. Staff members will be associated to a security group. The security is then applied by group, for each business process during the design. The agency must review the specifications and walkthroughs from each security group perspective. When the agency approves the design of SDS, the agency is giving final approval to security too.

2.3.8. Report, Correspondence and Subform Designs

Reports, Correspondences, and Subforms are included in each business process phase of the project. The goal of the output design is twofold:

2.3.8.1. Specification

1) Produce specifications for <Client> outputs that immediately and intuitively communicate the look and feel of the report/letter/interface screen/custom subform/etc.
2) Produce technical specifications for internal use by GL Solutions. While technical specifications will not require Client approval, the specifications will be used by GL Solutions' Operations Department to develop and maintain the requested outputs. These specifications contain all the technical details necessary for the Development team to create the outputs based on the specification standards communicated by the <Client> Team.

In order to facilitate the creation of a specification document that meets the needs of both the client and the development team, the <Client> Team scope of work for each report, correspondence, and sub-form during the Business Process phase includes the following:
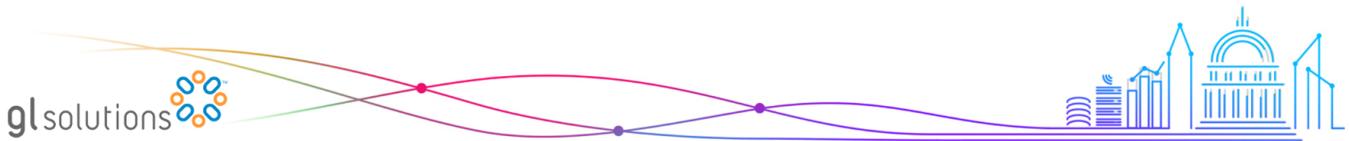
- Final versions of each report and correspondence required by the business process with descriptions of the information merged into the output.

2.3.8.2. Result

1) Approved technical specification

2.3.9. External Interfaces

GL Solutions will specify and develop the functionality for GL Suite to move data between a third party and the Agency. GL Solutions will produce a technical specification for each interface that includes:

- Interface flow
- Functional requirements
- Data Mapping

In order to facilitate the creation of both the Business Specification and Technical Specification documents, the <Client> Team scope of work for each business process during the External Interfaces phase includes the following:

- Final External Interface samples with schema or data definition descriptions
- Final versions of each report and correspondence required by the interface with descriptions of the information merged into the output
- Provide access to technical resources

2.3.10. Public Website Design

GL Solutions will specify and develop the website functionalities required per the Goals and Scope document. GL Solutions shall produce the following design documents and submit those documents to the State for acceptance:

- Website web flow for each site
- Website style sheet
- Page mockup and specification including fields and business logic

2.4 Development and Testing

Party	Role & Named Individual (where applicable)	Responsibilities
GL Solutions	Agency Partner	• Provide background project information to internal teams • Facilitate meetings required for questions from GLS teams
GL Solutions	Business Analyst Varies	• Configure screens, specify business rules • Correct identified defects
GL Solutions	Development Team	• Develop all customized functionality such as interfaces and websites • Convert legacy data to GL Suite
GL Solutions	Configuration Specialist Team	• Configure all customized functionality such as business rules • Develop report, correspondence and other outputs
GL Solutions	Quality Assurance Team	• Ensure system functionality performs according to the approved specification
Agency	Subject Matter Experts	• Provide answers to GLS team questions

GL Solutions	Agency Partner	• Provide background project information to internal teams • Facilitate meetings required for questions from GLS teams

2.4.1 Configure Rules

After approval of the design, GL Solutions will complete the configuration and development of the system. This includes any business rules, commands, reports, correspondences, etc. described in the detailed functional specifications. This work is completed according to the accepted specification. Development and configuration is performed in the DEV environment.

2.4.2 Unit Testing

GL Solutions conducts Unit Testing to determine whether developed or configured functionality performs according to specification. GL Solutions testers use the accepted specifications to verify that the developed functionality meets the specified client requirements. Unit testing occurs as system functionality is designed and developed. Unit testing is performed by GL Solutions in the SYS environment to ensure that system functionality is developed to meet the approved specifications.

Integration testing is a form of unit testing to ensure that all inputs and outputs to the client and third-party systems are in place and functioning according to business process design specifications.

2.4.3 System Testing

GL Solutions conducts system testing to validate that developed functionality meets the expected outcomes documented by the accepted project specification(s). System testing occurs in the UAT environment.

Completion of system testing is one of the primary prerequisites for beginning User Acceptance Testing.

2.4.4 Public Websites

The websites will be developed according to the accepted specification from the design process and, ideally, this functionality will be developed after the back office system is tested and no further changes are to be made. Websites may be completed outside the UAT and Deployment of the back office. Each project will include:

- o Development
- o Unit and System Testing
- o User Acceptance Testing
- o Stabilization

2.5 User Acceptance Testing

Party	Role & Named Individual (where applicable)	Responsibilities
GL Solutions	Service Delivery Manager	• Resolve conflicts • Identify project risks
GL Solutions	Agency Partner	• Organize the structured testing schedule • Provide UAT training • Facilitate daily UAT meeting

		• Review reported defects identified to be changes to the approved specification with the agency
GL Solutions	Quality Assurance Team	• Analyze client reported UAT defects • Classify issue severity in accordance with the agreed upon definitions • Test defect resolution according to the approved specification • Provide notification to the agency of defect correction
Agency	Project Manager	• Attend daily UAT meeting • Ensure agency is testing according to the UAT plan
Agency	Subject Matter Experts	• Participate in testing according to the UAT plan

User Acceptance Testing (UAT) is a narrowly-defined testing process conducted primarily by identified client users as part of the final implementation steps and at the conclusion of all previously noted testing phases.

Client testing of business process functionality is very important to the success of the project to ensure the client can perform all aspects of the job. Successful agency testing of a business process means that the agency can work through the business process using the approved process guide. Additionally, the Agency can help ensure a successful UAT by understanding and meeting these expectations:

- <Client> performs UAT according to the UAT Plan which is a separate document to be accepted prior to the completion of system test
- <Client> tests using converted (real) data, not test data, to ensure accuracy of the converted data and system functionality
- <Client> tests the system by business process

It is expected the processes will be tested, defects reported and resolved, and the business process user testing closed in order to meet the overall project schedule. Once all processes are tested in that manner and the P1 and P2 defects are resolved the project will exit UAT. See the project-specific UAT Plan for Exit Criteria.

Upon successful completion of UAT, the system will be ready for final rollout to the production environment, provided that required project activities are completed.

2.5.1 Training

Training will be provided at the start of UAT, the parties shall agree to a training plan that includes:

- Training requirements
- Methodology used
- Facilities and equipment to be used
- Number of sessions to be conducted, and dates and times of training

GL Solutions shall provide training materials that include:

- Internet browser set up information
- Business process Process Guides
- User feedback forms
- GL Suite User Guide

GL Solutions will conduct user training that may include on-site coaching and online training.

2.6 Go Live

Party	Role & Named Individual (where applicable)	Responsibilities
GL Solutions	Service Delivery Manager	• Resolve conflicts • Escalate issues • Identify project risks
GL Solutions	Agency Partner	• Provide Go Live training as needed • Facilitate stabilization meetings • Review reported defects identified to be changes to the approved specification with the agency • Transition to account management with the agency
GL Solutions	Development Team	• Ensure all environments are in synch • Convert legacy data to GL Suite
GL Solutions	Quality Assurance Team	• Analyze client reported stabilization defects • Classify issue severity in accordance with the agreed upon definitions • Provide notifications when defects are corrected
Agency	Project Manager	• Resolve conflict • Attend project stabilization meetings • Provide project leadership
Agency	Subject Matter Experts	• Report defects according to the approved specification
Agency	IT	• Provide final data • Assist with technical questions

Upon completion of UAT, the project will be released for use in the production environment. If GL Solutions will be hosting the system, this process is quick and painless. GL Solutions will provide simple steps to follow at the time of Go-Live and as well as the production site information for the purpose of pushing the system to production.

<Client> Team is responsible for the following deployment activities:

- Communicating change to affected employees
- Provide sequencing numbers as appropriate, such as for licenses, cases, etc.
- Provide data to GL Solutions at specific times, per the agreed upon contract
- Discontinue data input in the legacy system once final data is sent to GL Solutions
- Update desktop shortcuts to the Live environment for all users
- Immediate review of converted data in the Live environment
- Facilitate Live testing of all interfaces and scheduled jobs

GL Solutions is responsible for the following deployment activities:

- Establish process/procedures to ensure smooth transition into Stabilization phase (per the agreed upon contract)
- Unit and System Testing
- Provide conversion reports
- Provide <Client> with Go-Live assistance (Live system deployment, training, etc.)

2.6.1 Production Activities

Project Release includes all activities that prepare the project for implementation. These deployment activities consist of go live, managing communication and expectations, employee training, and mitigating risks. The GL Solutions team and <Client>

Team will work together to communicate at all levels the business objectives that caused the change, train employees on new tools or processes, set expectations for the future, and lay the groundwork for the business process change to be successful within the organization.

2.6.2 Training

Training will be provided on an as-needed basis at Go-Live because most user training is provided during UAT and, because of the extensive user experience gained at UAT, additional training is often not needed. Therefore, if additional training is needed, the parties shall agree to a training plan that includes:

- Training requirements
- Methodology used
- Facilities and equipment to be used
- Number of sessions to be conducted, and dates and times of training

GL Solutions shall provide training materials that include:

- Internet browser set up information
- Business process Process Guides
- User feedback forms

GL Solutions will conduct user training that may include on-site coaching and online training.

2.6.3 Warranty

Immediately following Go-Live, a three month stabilization (warranty) period will begin to ensure that items in the project scope are functioning correctly. This stage of the installation marks a transition from the fast paced installation to the more moderate pace of technical support. The level of interaction between GL Solutions and <Client> typically slows by the end of stabilization and transitions to focusing on technical support tasks and projects. Stabilization is a good time to settle into a routine with the new system and start thinking forward to new functionality in which to grow. The <Client> may contact the Agency Partner at any time.

GL Solutions' work management system requires that user-reported issues be identified as defects or enhancements using the accepted specification as the standard for comparison. All staff members working on the project (including <Client> testers) shall funnel comments and requests for fixes or changes through GL Portal, which will route the reported issue or enhancement through GL Solutions' workflow management system for research and resolution. If any reported defects are deemed enhancements (modifications requiring a change to an accepted specification), the Agency Partner can help to ensure the assessment is valid and identify the priority for the work to proceed, subject to the support plan.

GL Solutions will prioritize defect corrections over enhancements unless otherwise directed by the agency. New functionality, including new screens, new rules, or new system outputs that were not a part of accepted system design, is excluded from stabilization work. These requests may be documented on a wish list or as tasks for work to be completed under the support plan. The Agency Partner will work with the Agency during the transition to the support plan, thus ensuring that any enhancements are prioritized properly; this allows work to begin in a logical order where the most-needed work can start first once the Warranty period ends.

3. Data Conversion

Party	Role & Named Individual (where applicable)	Responsibilities
GL Solutions	Agency Partner	• Provide FTP site information for the data transfer • Facilitate meetings as needed for technical resources • Conduct conversion testing with the agency (screen to screen review)
GL Solutions	Business Analyst	• Produce mockup of conversion records • Produce conversion technical specification (crosswalk) • Set up conversion testing records
GL Solutions	Development Team	• Convert legacy data to GL Suite • Produce conversion exception reports
GL Solutions	Quality Assurance Team	• Test converted data according to the conversion crosswalk
Agency	Project Manager	• Participate in screen to screen conversion testing • Approve conversion exception reports • Identify legacy records for conversion testing • Approve all data identified to not convert
Agency	Subject Matter Experts	• Participate in screen to screen conversion testing
Agency	IT	• Produce legacy system data

3.1   Conversion Design

GL Solutions will specify and develop the functionality for GL Suite to migrate data from the agency legacy system. The technical specification for Conversion Design will include:

• Data Source Visio for the legacy tables

In order to successfully complete the Technical Specification documents, the <Client> Team needs to provide the following:

• Initial data set of the source application legacy data at the start of the project (usually at time of contract execution). Generally this is a SQL, Filemaker, or other database format.
  o Note: Oracle databases need to be exported as a quoted, comma delimited .csv file (Ex. "xxx","xx", etc.). Oracle's Data Pump Export can produce the correct export format.
  o Note: If <client> plans to do any cleanup or scrubbing before sending the data to GL Solutions, it must be done in a reproducible way as we will ask for data refreshes over the course of the installation.
• Source client application schema if available.
• Screen shots of all screens where data is displayed (usually in support of meetings with the Business Analysis Team)
• Any unconverted data (including tables) needs to be identified by <Client>

Note – the data to be converted at each iteration of data conversion is required to be in the originally-provided file format and structure. Changes to legacy database structure (new fields etc.) will not be included in the scope of the installation data conversions.

3.2   Conversion Development

During an installation, data conversion requirements are discussed and reviewed during the design of business processes. Concurrently, the Agency will review and approve a conversion crosswalk. Once the data is converted, the Business Analyst and the project team will review the conversion by walking through screens in GL Suite to ensure that the data is being populated in the correct location(s). To ensure a high quality conversion, a screen-to-screen comparison is made between the data in the legacy system and the data in the GL Suite system. A screen-to-screen comparison of the data in the legacy system to its new home in GL Suite also helps ensure a quality conversion. Data conversion is a critical step to a smooth and high quality project implementation. The time spent working with GL Solutions to ensure all data will be correctly converted will pay huge dividends during Go-Live and Stabilization.

3.3   Conversion Testing

GL Solutions will test the conversion to ensure that it is working according to business requirements before the Client sees it for the first time. Review sessions will be scheduled to thoroughly scrutinize the first conversion pass, report and resolve issues, and then repeat the conversion. Also during UAT, <Client> will be able to review the conversion and report issues to GL Solutions. Active participation by Agency staff in conversion testing is critical to a successful system implementation.

The agency must perform the following activities:

• Review the conversion exception report and provide direction to GL Solutions on how to correct data anomalies. GL Solutions will suggest an outcome for each anomaly which the parties expect to be implemented unless the agency provides other direction
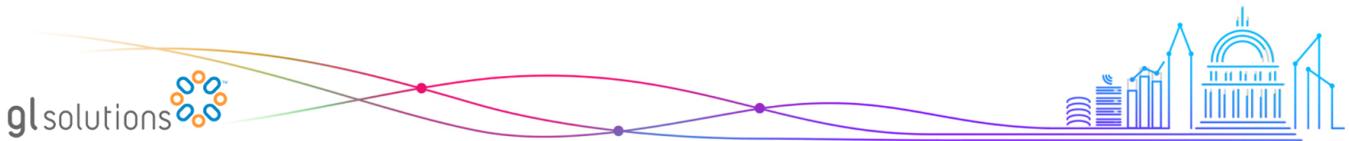
- Data should be normalized – that is, all data fields can be used as expected, and there are no duplicates
- GL Solutions will not clean up <Client> data. This must be done prior to conversion or there could be issues during Go-Live
- Compare screens in GL Suite and the legacy system in a sufficient variety of scenarios to determine whether GL Solutions converted all data correctly
- Compare reports from the legacy and GL Suite applications to ensure accurate numbers of records, licenses, payments, cases, etc. are converted
- The exception report must be accepted

3.4   Final Conversion

GL Solutions will convert the final data set provided by <Client> into GL Suite according to the approved data conversion specification. GL Solutions will test the converted data prior to the migration to production. The agency is strongly advised to fully test the final conversion immediately upon Go-Live by repeating the conversion tests listed above.

4.   Project Management Methodology

GL Solutions has developed a comprehensive and effective project management methodology that covers all aspects of any GL Solutions project; new installations, technical support projects, and ensures:

- The functionality developed conforms to the contract
- Communication between parties is timely and productive
- Project needs are addressed in an organized fashion
- The project stays on target in both scope and delivery

GL Solutions uses a project management methodology that is tailored to the unique functionality provided by the GL Solutions application.

GL Solutions' approach is tightly integrated with each element of the implementation methodology. GL Solutions' project management wraps a layer of monitoring, directing, advising, and guidance around the implementation methods. GL Solutions will direct resources to the project based on the Goals and Scope document and Management Plan in order to maintain agreed upon deadlines and deliverables. GL Solutions will also provide subject matter expertise, as needed, to ensure that project goals are achieved.

All project participants should read and understand this Management Plan prior to commencement of the project and retain a copy for reference during the project.

Party	Role & Named Individual (where applicable)	Responsibilities
GL Solutions	CEO	• Resolve contract disagreements • Resolve conflict • Approve risk mitigation plans
GL Solutions	Service Delivery Manager	• Manage conflict • Escalate issues
GL Solutions	Agency Partner	• Listen and respond to project topics as primary project management contact for GL Solutions

		• Manage change management process • Review and communicate schedule and upcoming events • Prepare, facilitate and memorialize status meetings • Identify project risks • Provide all necessary training
GL Solutions	Technical Analyst	• Identify, track and confirm requirements traceability • Identify project business processes and high-level deliverables • Process scope, schedule, risk and billing changes • Manage scope, schedule, risk and billing change processes
Agency	Executive Director	• Create a positive project culture and agency-wide support for a successful implementation • Resolve contract disagreements • Resolve conflict
Agency	Project Manager	• Manage conflict • Attend project status meetings • Provide direction to agency team

4.1. Risk Management

The Agency Partner will perform regular risk assessments through the installation project and the Agency Partner will perform risk assessments post Go-Live and throughout the technical support plan year.

Mitigation strategies, including individual or team responsibilities, action plans, and escalation procedures, will be developed for each risk in order to minimize and (where possible) eliminate the risk. All risks will be recorded and tracked throughout the project and will be carried forward to subsequent months as appropriate. Identified risks and mitigation plans will be communicated during regular status meetings.

4.1.1 Related Documents

Risks will be monitored during the project through GL Portal and documented on the project status meeting agendas and minutes. Documentation will include mitigation steps and responsible parties.

4.1.2 Identified Risks

GL Solutions' expectation is that <Client> will actively participate in all activities required for a successful project implementation. While this Management Plan will help the client gain an understanding of the software project process, <Client> project participants have typically not previously been involved in a software project and may be unaware of the time required for successful implementation.

Below are common risks that will be used to evaluate the project as it progresses.

Lack of Adequate Testing

Adequate testing is critical to the software design process – without adequate testing, there is a high likelihood that issues will not be discovered until some critical moment in the future. This can cause problems, confusion, and embarrassment as well as giving end-users a feeling that the software is low quality. The best approach to testing is one that is systematic and organized. Testing takes time and time takes money; it is extremely important to budget for testing, to plan for it, and to execute it in a way that will not only test everyday situations, but also test use-case and edge-case scenarios. Testing can never be too thorough.

Lack of Schedule Commitment

Committing to a schedule is crucial to ensure that project timelines do not go astray. Without a committed schedule, a project runs the risk of not being completed in a reasonable timeframe, which can easily lead to cost overruns, team resentment, and unhappy end-users. A well-defined schedule helps the parties to achieve the objectives of the project while also maintaining the expected timeline.

Lack of Executive Support

Support from senior management is needed to drive and keep the project effort focused and moving in a positive direction. Ownership of the project must be shared to satisfy the demands of user management. It is estimated that 90% of software application project failures are due to politics within the organization and a lack of clear executive support.

Lack of User Support

During the design process it is important to engage users in the project and, from this activity, super users will often become apparent. These users can have a significant impact on the success of the project by providing guidance, support, and encouragement for other agency users. The project team can assist this natural process by identifying these users and providing a place in the project that is visible and viewed as positive within the work structure.

Poor Project Management

Strong project management is required of the overall project and is traditionally separate from the design and development processes within an installation. Leadership from the project management team is critical for the success of the project and most project successes are characterized by project management that is balanced and collaborative with a strong vision that the project will succeed.

Poor Change Management

Starting agency change management activities early with the end users will often make the difference between a smooth UAT and Go-Live and a very difficult transition time. Change can be difficult for people to accept and some will have a more difficult time accepting it than others. Change management activities are required to ensure the smoothest experience in this area and it is important for <Client> senior management and the project management team to provide leadership within the context of change.

Poorly Designed Project/Business Requirements

A lack of clearly defined project and business requirements can lead to software that does not fully meet the business need. It also contributes to confusion and frustration with users when the software is presented for testing. The effort required up front serves a project well and can assist with minimizing other challenges within a software project.

Poor Schedule Management

While an overly optimistic schedule will have little impact if properly managed, poor management of the schedule can have a severe impact on the project. A mismanaged schedule can lead to a halt in development, extensive rework of the schedule, and extensive reallocation of resources. It is very important that the Agency is committed to meeting the scheduled deadlines to ensure that contractual requirements can be met.

Poor Design/Development

Poor or inadequate design of the system can, and usually will, lead to extensive rework. This can have a very significant impact on the progress of a project by putting teams behind schedule, causing scope expansion, resource reallocation, and cost overruns.

4.2 Communication Management

This section will set expectations for how all communication will take place between the parties. GL Solutions' Agency Partner will work with the Agency using refined best methods for gathering requirements, which includes keeping the Client updated on project/task progress and where to find answers for questions or concerns.

4.2.1 GL Portal

GL Solutions has developed an online portal (GL Portal) for clients to monitor project schedules, action items, risks, invoices, and issue tracking. GL Portal will allow both the agency and GL Solutions to monitor scheduled work. It is a real-time project management tool that allows users to:

- Complete design approval and specification acceptance
- Respond to questions and other communication
- Track and monitor the status/progress of individual defects reported
- Track and monitor the status/progress of requested enhancements
- Review specification or other documents
- Report new issues when discovered
- Maintain all documentation related to the project, including specifications, process guides, administration guides, and more

4.2.2 Client Status Meeting

Client Status Meetings are the primary venue for communication between <Client> and the Agency Partner. The Agency Partner will update GL Portal ahead of time so that all parties involved can monitor and review the discussion topics. GL Portal is available to review discussion items at any time.

- Installation Status Meetings will occur weekly
- The Status Meeting is conducted through a real time portal (GL Portal) with direct links to the risks, projects, tasks, etc. that make up the discussion items for the meeting
- Meeting topics will be available on GL Portal to all participants at least one day prior to the meeting. Topics may be part of the meeting invitation or may be a separate document depending on the need of the Agency.
- New items for review need to be submitted to the Agency Partner at least two days in advance of the meeting
- The Agency Partner will also send out meeting minutes after the meeting to document any discussions, decisions, and action items.

4.2.2.1 Meeting Schedule

GL Solutions recommends meeting weekly during the installation because the time frame is short and it is important to monitor progress closely. GL Solutions' Agency Partner will set up a recurring meeting invitation to reserve the time on attendees' calendars for _____ Pacific Time on _____ (day of week). The schedule can always be adjusted if a meeting needs to be cancelled or added.

4.2.2.2 Meeting Attendees

Certain <Client> Team members are typically included on a recurring meeting invitation and these people are identified in the Goals and Scope document. Additional participants are always welcome on an as needed basis. The Agency Partner will need advance notice (see the next section on the Meeting Agenda) to make sure that all invitees have sufficient notice of the meeting time and agenda.

4.2.3 Emergency Contact

Installation projects are typically not affected by system emergencies; however, in the event of outages that affect the agency, particularly during user testing or Go-Live activities, the Agency Partner will contact <Client> immediately.

Critical agency staff (such as IT, the PM, or SME) need to be available 24/7 during Go-Live.

4.2.4 Conflict Resolution

Software installations typically include some amount of conflict. The project likely changes the way people work at the agency. Change can be difficult in the best of circumstances. The project involves a great deal of communications between the Agency and GL Solutions. Developing clear communication styles and habits takes time. Further, each person in the project possesses different experiences with software implementations that may lead to misunderstanding about the project status. For all of these reasons, some degree of interpersonal conflict among and between staff at the agency and GL Solutions is normal, healthy, and to be expected.

If frank, direct communication does not resolve a conflict, the parties agree to escalate the conflict to decision makers within the respective organizations. Agency staff will ask for direction from the Agency's management team, escalating to the Executive Director, if necessary. GL Solutions staff will ask for direction from GL Solutions' management team, ultimately the CEO. Managers and executive staff will communicate directly with peers in the other organization before escalating further.

4.2.5 Verbal Communications

GL Solutions documents all agreements between the Agency and GL Solutions in writing. Written agreements allow the parties to record the agreement for future use. Written agreements provide better clarity and understanding. If GL Solutions' staff makes a verbal promise or reassurance, such as a promise to include a specific correction, the Agency should insist that the agreement be added to the formal specification. Do not accept a verbal commitment from a Business Analyst or other staff. GL Solutions management explicitly assumes that the Agency and GL Solutions' staff has made no verbal agreements whatsoever.

4.3 Schedule Monitoring

Overall project progress will be covered at the regularly scheduled project status meetings. Progress on individual tasks and projects is also provided via the GL Portal.

4.4 Acceptance

A software project completes as a series of completed milestones that build on each other. As a deliverable is accepted by the agency, a subsequent deliverable will be produced which relied upon the previous accepted deliverable. For instance, business process identification leads to a technical specification, which leads to configuration and development, which leads to system testing, which leads to UAT testing, etc. Modification to an accepted deliverable always leads to an expansion of the expected scope of the project. For this reason, the parties intend for any modification to an accepted deliverable to be processed through the change management process.

Timely review and correction of deliverables are essential for meeting project schedule goals identified in Section 1 of this document. To facilitate timely acceptance and reliance on that acceptance, the parties agree to the following deliverable acceptance process:

- Unless another expressed timeframe is provided, <Client> shall have ten (10) business days from the delivery of any design documents to determine whether the documents conform to the agreed to acceptance criteria.
- If the submitted documents do not conform to the acceptance criteria, the agency shall notify GL Solutions in writing of the reasons that it is unacceptable.

- A design review form must be used for any specification that is not fully accepted. GL Solutions will accept track changes in a document in addition to the review form to assist with clarity of the changes requested.
- The specifications will be reviewed entirely and the deficiencies must be noted at this time, and additional deficiencies with the design documents may not be added or modified in any future notification of this formal review cycle.
- GL Solutions shall have five (5) business days from the receipt of such notification to correct the deficiencies and resubmit the design documents.
- The agency shall have up to five (5) business days to inspect, test, and reevaluate the resubmitted design documents.
- Additional cycles may be added until the design documents are acceptable to the agency.
- If the agency does not give written notification to GL Solutions by the end of a given inspection, testing, and evaluation period or any extension of that period, indicating that the submitted design documents do not conform to the acceptance criteria, the agency shall be deemed to have accepted the deliverable upon expiration of the period.
- GL Solutions will not accept conditional acceptance, all requests for change must be complete when acceptance is given.
- The agency shall allocate necessary staff resources to provide detailed business requirement descriptions, review specifications, answer clarifying business requirement questions, perform UAT testing, and manage staff and process change within the agency's organization.

4.5   Change Management

Project changes are inevitable during some point in the software project development life cycle. The key for a successful project is to manage change and limit the impact to the project plan, budget, and schedule for the project because the number one cause of project schedule and budget changes is project scope change. Some changes will be unavoidable – instances where changes are required to comply with legal regulations or policy changes but other changes can be deferred until after the system is live.

If scope changes are not controlled, the project schedule and budget will be out of control before the project team recognizes that anything has happened. A well-conceived change control process will assist the project team in controlling this "scope creep" problem.

Scope changes (sometimes referred to as creeping functionality) are the continual addition of functional enhancements to the product requirements throughout the software development life cycle. Excessive scope changes are directly related to poorly defined product requirements and specifications.

A change request is defined as a request for a modification to a previously accepted deliverable, or a modification that contradicts contractual documentation, including scope increases in addition to those documented in the Goal and Scope document, once agreed to by the parties. A change request may be required if the agency modifies a project process, such as changing the design acceptance process from a single round of new issue reporting to more than one rounds of new issues.

If a modification to a deliverable is proposed before the deliverable is accepted, and the change does not contradict a previously accepted deliverable, the contract documents, and/or the Goal and Scope document, the change can proceed without a change request or contract amendment. Otherwise, the modification is a change that requires the parties to follow this formal Change Management process.

Examples of requests which are always subject to this Change Management process:

- Any work in excess of the functionality defined in the Goals and Scope document

    1. Work in excess of identified business processes
    2. Work in excess of total number of reports, queries, correspondence

3. Work in excess of conversion, interfaces etc.

- Modifications to the project management processes

  1. Project management work in excess or beyond the expected duration of the scope defined in the Goals and Scope document.

  2. Reporting defects in round two on a DARF during design.

- Changes to core code (any customization of core code is a change request) includes, but not limited to:

  1. Home Screen
  2. Any non-standard configuration
  3. De-normalization of database structure

- Issues reported beyond the Warranty period will be addressed by the software support plan selected by the agency.

4.5.1 Standard Document for Documenting a Change Request

Any modification to a previously accepted deliverable, the contract documents, and/or the Goals and Scope document must be submitted in writing and may be submitted by the agency or by GL Solutions. The change will be requested in the Change Request Form, agreed to by the agency and GL Solutions and attached to this document in Appendix A.

Any change request will include:

- Name of the Change Request
- Number for the Change Request
- Who prepared the Change Request
- Who approved the Change Request
- Date of approval
- Date of acceptance
- Type of Change Request (fixed price or time and materials)
- Description of Change Request
- Tasks involved to complete the work
- Type of work included in the tasks
- Rate
- Hours estimated
- Price

4.5.2 Process for Submission and Review of a Change Request

The process for submission and review of a change request will involve both the agency and GL Solutions. Steps to complete the Change Request process:

- Change Request Form created by the Agency Partner immediately upon discovery of a required change
- Change Request Form submitted for approval on GL Portal
- The Change Request will be discussed at the next status meeting to ensure clarity of the request

4.5.3 Process for Approval or Rejection of a Change Request

- The Change Request will be accepted or rejected on GL Portal

  <A more formalized process may be identified if needed from the contract>
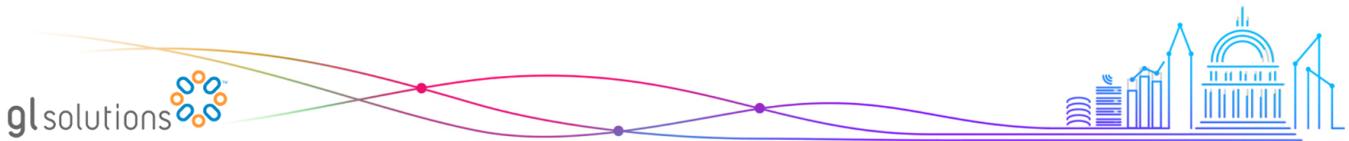
4.5.4 Process for Estimation of Cost and Impact of Change

Change requests may be classified as fixed price or time and materials. All estimates will use the hourly rate specified in the contract. All change request estimates will include:

- Extension of project management cost due to project delays or setbacks
- GL Solutions' Operations team resources including management and testing

Project delays caused by the agency's inability to perform to the project schedule will be a change request and will potentially result in higher costs.

GL Solutions permits certain complimentary change requests for minor screen modifications such as the location, security, or label on a field.

5.   Glossary

Object
An Object is anything that is defined (can be compared to a record). Each entity, task, license, piece of correspondence, report, etc. is an object. Objects and Object Types are organized on the tree structure via Collections.

Object Type
The term "Object Type" is used to refer to a specific Type of object within an Object category. An Object Type represents a single screen in GL Suite. For example, a kind of license Object, 'MD license' is a Type of license (screen), an Application Form Task may be a Type of task (screen) and a License Fee may be a Type of Invoice (screen), etc.

Quick Pay
Quick Pay is the payment processing mechanism within GL Suite. Quick Pay is its own unique window that opens and allows users to search for and apply payments against open invoices.

Relationship (Association)
A relationship is used to connect one entity record to another. For example, the relationship between an Individual and workplace constitutes a relationship. Relationships are also referred to as associations. Relationships between entities can be accessed via a hyperlink on the tree structure of one entity to the tree structure of its related entity.

Staff Entity Record
From the Main Screen a user can click on the menu option "Open Me" to access their unique staff record. This staff entity record contains information relevant to the user logged into GL Suite.

Status
A Status field can be used on any screen in GL Suite. In the case of a License object it can keep track of the status of the license itself. For example, if all tasks are complete and all fees are paid, then a License is Active.

Subforms (Record Headers/Footers)
Subforms come in two forms: Subform Top and Subform Bottom. These subforms appear as headers and footers within a record and summarize information that exists on the tree structure.

Task/Requirements
Tasks serve to indicate licensing requirements. A Task may also act as a staff reminder and help with workload management (staff "To Do" list). They can be created manually or automatically depending on need. (See rules for information on automation.)

License Tasks: These are Task records created to make sure that licensees complete their requirements before getting licensed. Task records will be specific to each license type. For example, if a licensee is required to complete an Application Form a task record named "Application Form Task" with a default status of "Incomplete"
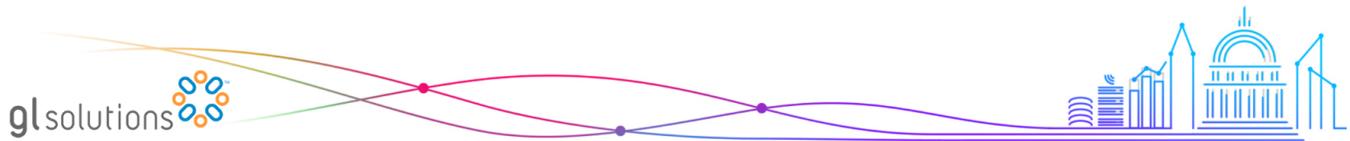
would be created. When the application form is received by the agency, this task record's status can be set to automatically change to a status of "Complete."

Tasks Created on Default (always needed): These task types/task records will be automatically created when a new license record is created. For example, an applicant will have to pay an application fee, so the task "Application Fee Task" will be created automatically so the licensee cannot be licensed before paying the fee.

Tasks Created Manually (as needed): These tasks are only created when needed because they won't apply to every application or licensee. For example, you would only create the task "Application Not Signed" for those applicants that have this deficiency.

One Screen
Screen to capture data that will populate multiple screens when the record is created.

Append
This term refers to the creation of a record or screen in GL Suite. It will be used within the rules shown on the SDS.

Dummy Correspondence/Correspondence Printed
This term refers to the screen in the backend that captures the date a report is printed. The date is populated by a command from the Main Screen. This tracks the records that need to show in a batch report and the date they were printed from the system.

Mark as Printed Command
The function that populates the date on the "Dummy Correspondence" or "Correspondence Printed" in order to remove it from the batch report.

Property
This term refers to a field on a screen in GL Suite. The name of the property is the label the property is given the user sees. The label a user sees and the name of the property shown on the SDS may not be the same.

On Update
This term refers to the action of saving data and an automated action occurring by the system. This term will be used when reviewing the rules that appear on the SDS.

Tree Structure
When opening a GL Suite record, the hierarchical view on the left side of the screen as seen by the user.

Self-Documenting Specification (SDS)
The SDS is the technical specification of the system that lists all screens, fields, rules, security, etc. related to a business process.
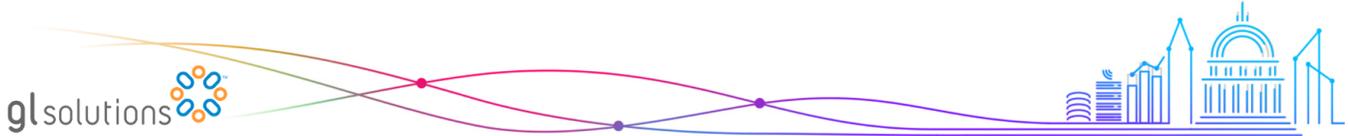
GL Suite Software Agreement

General Terms

1. **Parties.**   Parties to this GL Suite Software Agreement ("Contract") include GL Suite, Inc., an Oregon corporation ("Company"), and the _____, an agency of the State of _____, or if blank, the agency ("Licensee") receiving an offer from Company ("Offer") in response to a procurement request ("Procurement").

2. **Contract Incorporation.**   This Contract may be executed in any number of counterparts, each of which shall be deemed to be an original and all of which shall constitute one agreement which is binding upon all the parties hereto, notwithstanding that all parties are not signatories to the same counterpart. If this Contract was submitted with an offer from Company in response to Licensee's Procurement, Company intends for the offer to be contingent upon acceptance by Licensee of the terms of this Contract. This Contract and all rights and obligations of the parties hereunder and all rights and obligations of the parties shall be governed by, and construed and interpreted in accordance with, the laws of the State of Oregon applicable to agreements made and to be performed entirely within such State, including all matters of enforcement, validity and performance.   This Contract may only be amended in a written agreement executed by authorized representatives of both parties hereto.

3. **Contract Term**. This Contract shall be effective on the date this Contract has been fully executed by every party, and shall expire concurrently upon the expiration of all Software Support Plans.

4. **Contract Scope**. The scope of this Contract includes a Procurement, Offer, GL Suite Software, Software Installation, and Software Support products and services as described in this contract. Contract terms in this "General Terms" section apply to the entire scope of the Contract.

5. **Project Management Tools.** Company and Licensee agree to use GL Portal, an online, web-based project management system developed by Company to store project deliverables, communicate schedules, provide acceptance of specifications and other deliverables, answer clarifications, report defects, and provide notifications.
(a) Company will issue Licensee a unique login and access to GL Portal for each person authorized by Licensee.
(b) Licensee will authorize Company to grant GL Portal access only to Licensee agents with authority to act on behalf of Licensee.
(c) Company shall utilize Microsoft Word, Excel, PowerPoint and Visio to develop written project documents.

(d) Company shall provide project management forms for acceptance, deliverable review reporting defects, etc. No other project management software or forms shall be used.

6. Physical Presence. Company shall at reasonable times and in a manner that minimizes disruption of the Licensee's operations have the right to enter into and upon the premises of the Licensee during business hours for the purposes described by this Contract, inspecting the software, observing its use or otherwise protecting Company's interest therein. Licensee shall, whenever requested by Company, advise Company of the exact location of the Software. Subject to Licensee's review and approval of data access security precautions, Licensee shall establish a secure method by which Company can perform remote administration and updates to the installed Software.

7. Specification and Document Deliverable Review. Company shall create specifications and other documentation, such as project management documents, training, and software documentation, to support the Software Installation and Software Support as described in this Contract.
> **(a)** Company shall submit specifications and documentation to Licensee for acceptance using GL Portal. Company shall specify which contract requirements are met by the specification or documentation.
> **(b)** Licensee shall review the specification or documentation to determine whether the document, if developed per the specification, fulfills the contract requirement specified by Company.
> **(c)** Licensee shall respond to Company's request for approval by:
>> **i.** Accepting the submitted specification or documentation within seven calendar days,
>> **ii.** Rejecting the specification or documentation within seven calendar days, or
>> **iii.** Not responding to the Acceptance request within seven calendar days. Not responding to the Acceptance request within seven calendar days constitutes Licensee's Acceptance of the specification or documentation.
> **(d)** If the specification or documentation does not conform to the Contract, Licensee shall notify Company using GL Portal and forms provided by Company specifying the specific contract exceptions which cause the specification or documentation to be unacceptable. All such deficiencies within the specification or documentation must be noted during Licensee's initial review of the specification or documentation.
> **(e)** Company shall correct the deficiencies and resubmit the specification or documentation within seven calendar days from the receipt of the request for Acceptance.
> **(f)** Licensee shall have seven calendar days to re-inspect, test and reevaluate the resubmitted specification or documentation to determine whether deficiencies initially noted are corrected.
> **(g)** Additional cycles may be added until all deficiencies initially noted are corrected.
> **(h)** During any re-inspection by Licensee, the Licensee may not report any new deficiency not reported during the initial rejection of the specification or documentation.
> **(i)** Acceptance of a specification or documentation constitutes acceptance that Company's development and implementation of the software according to the specification or documentation satisfies Company's performance obligations with respect to the corresponding contract requirement identified. Acceptance of a software deliverable constitutes acceptance that the Software performs as specified.

8. Delivery. Delivery of a project artifact, deliverable or software occurs upon any of the earliest of any of the following events:

> **(a)** Delivery scheduled in a project plan, Goal and Scope Document, Management Plan, UAT Plan,

> **(b)** Notification of delivery in GL Portal, or

> **(c)** Actual notification of delivery by email or phone.
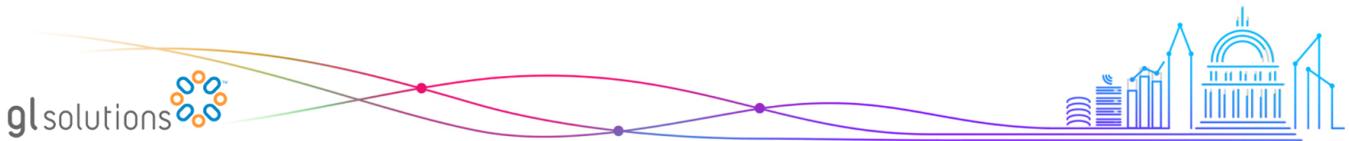
9. <u>Acceptance.</u> Any the following conditions constitute acceptance ("Acceptance") of a project document, specification, software, sub-deliverable or deliverable by Licensee, in the form delivered by Company, including acceptance of the software installation or support plan deliverable:

(a) Written acceptance by Licensee;

(b) Production use of the software (or, as applicable, Installation Service, Software Support deliverable) in a live environment; or

(a) Failure to test, inspect and report specific defects regarding the Software or any contract deliverable within seven calendar days after delivery notification by Company to Licensee.

10. <u>Payments.</u> Unless otherwise specified in this contract, payments are due within 45 days of receipt by the Licensee. Irrespective of any language on or accompanying a payment, Company shall apply all payments received to the oldest invoice due unless the Licensee formally rejects acceptance of the software or service corresponding to the oldest invoice in accordance with the terms of this Contract.

(a) Payment Obligation Absolute. Licensee's obligations under this Contract, including the obligation to pay license fees unabated, shall continue in full force and effect regardless of any inability of Licensee to use the Software because of war, governmental regulations, or strikes, unless for breach of contract or warranty.

(b) Should Licensee fail to pay any amount required hereunder to be paid by Licensee to Company, within thirty (30) days after the due date thereof, Licensee shall pay unto the Company interest on the unpaid amount of such delinquent payment at the rate of eight percent (8%) per annum from the date such payment was due until it is paid in full, or, in the event such rate exceeds that which is permitted by applicable law, the highest permissible rate.

11. <u>Assignments by Company.</u> Any and all rights and interests of Company under this Contract may be assigned, either in whole or in part, without notice to Licensee, and Licensee agrees that its rights under this Contract are expressly subject and subordinate to any and all security interests which may now or hereafter be placed by Company or its assigns upon the Software. All references in this subparagraph to assignment shall be deemed also to include any pledge, mortgage, transfer or other disposition. Subject always to the foregoing provisions of this section, this Contract shall inure to the benefit of, and shall be binding upon, the successors and assigns of the parties hereto and, where appropriate, their heirs, legatees and personal representatives. The Company will provide Licensee with no less than a ninety (90) calendar day notice of impending cessation of its business.

12. <u>Warranties.</u>

(a) Software Installation and Software Support Warranty - For a period of ninety (90) days following Acceptance by Licensee (the "Warranty Period"), Company warrants that Software Installation and Software Support, except Hosting Services, will function in material conformity with Accepted specifications, and will be free from material defects in operational performance. Company will cure all breaches of the foregoing warranty reported in GL Portal by Licensee during the Warranty Period even if the period to perform such corrective action extends beyond the Warranty Period.

(b) Hosting Service Warranty - Licensee assumes total responsibility for Licensee's use and users' use of the Software on any equipment provided by Company, if any, and the Internet. Licensee understands and agrees further that the Internet is accessible by persons who may attempt to breach the security of Company and/or Licensee's networks. Company has no control over and expressly disclaims any liability or responsibility whatsoever for such actions and Licensee and Licensee's end users access the service at Licensee's own risk. Hosting Services provided

by Company are provided on an "as is" and "as available" basis without warranties of any kind, either express or implied, including but not limited to warranties of title, merchantability or fitness for a particular purpose. No advice or information given by Company, its affiliates or contractors or their respective employees, create a warranty. Some states do not allow the limitation of implied warranty, and therefore certain provisions may not apply to Licensees located in those states.

(c) EXCEPT AS EXPRESSLY SET FORTH IN THIS SECTION, COMPANY MAKES NO OTHER WARRANTIES OF ANY KIND, AND EXPRESSLY DISCLAIMS ANY AND ALL OTHER WARRANTIES, EXPRESS AND IMPLIED, AS TO ANY MATTER WHATSOEVER, INCLUDING, WITHOUT LIMITATION, THE SUITABILITY OR THE CONDITION OF THE SOFTWARE, OR ITS FITNESS OR SAFETY FOR ANY PARTICULAR PURPOSE OR USE, OR AS TO ITS MERCHANTABILITY. COMPANY MAKES NO WARRANTY REGARDING THE USABILITY OR CONVERTIBILITY OF ANY OF LICENSEE'S DATA, THE SUITABILITY OF THE SOFTWARE FOR LICENSEE'S NEEDS, OR ANY PERFORMANCE PROBLEM, CLAIM OF INFRINGEMENT OR OTHER MATTER ATTRIBUTABLE TO ANY USE OR MODIFICATION OF THE SOFTWARE, OR COMBINATION OF THE SOFTWARE WITH ANY OTHER SOFTWARE OR COMPUTER PROGRAM OR COMMUNICATIONS DEVICE, NOT EXPRESSLY AUTHORIZED BY COMPANY IN WRITING. COMPANY SHALL NOT BE LIABLE FOR INDIRECT, SPECIAL, INCIDENTAL OR CONSEQUENTIAL (INCLUDING LIABILITY IN TORT, STRICT OR OTHERWISE) DAMAGES ARISING DIRECTLY OR INDIRECTLY FROM THE SOFTWARE, THE USE, MISUSE, LOSS OF USE OR SALE THEREOF OR THE DELAY OR FAILURE OF DELIVERY OF THE SOFTWARE OR FROM ANY OTHER CAUSE WHATSOEVER EVEN IF IT HAS BEEN ADVISED OF SUCH POSSIBILITY. THE LIMITATIONS, EXCLUSIONS AND DISCLAIMERS IN THIS CONTRACT SHALL APPLY IRRESPECTIVE OF THE NATURE OF THE CAUSE OF ACTION, DEMAND OR ACTION BY LICENSEE, INCLUDING BUT NOT LIMITED TO BREACH OF CONTRACT, NEGLIGENCE, TORT OR ANY OTHER LEGAL THEORY, AND REGARDLESS OF THE SUCCESS OR EFFECT OF OTHER REMEDIES. IN NO EVENT WILL THE AGGREGATE LIABILITY OF COMPANY TO LICENSEE UNDER THIS CONTRACT FOR DAMAGES, COSTS, ATTORNEY'S FEES, EXPENSES OR INDEMNITY EXCEED THE TOTAL FEES PAID BY LICENSEE IN THE LAST TWELEVE MONTHS TO COMPANY HEREUNDER. LICENSEE HEREBY WAIVES ANY CLAIM THAT THESE EXCLUSIONS DEPRIVE IT OF AN ADEQUATE REMEDY OR CAUSE THIS CONTRACT TO FAIL OF ITS ESSENTIAL PURPOSE.

13. Contract Termination

(a) Termination without Cause – Either party may terminate this Contract without cause upon the later of the current Software Support Plan or 90 days prior notice to the other party.

i. If Licensee terminates this contract for any reason other than breach of contract or the expiration of the contract, Licensee shall pay Company $150 per hour for every hour worked prior to termination up to the maximum value of the Contract less any amounts previously paid.

(b) Termination for Cause – Following a 30-day written notice to cure, either party may terminate this Contract for a material breach of the Contract terms. A notice to cure must detail each instance of breach, including the facts and provisions of the contract breached, and the remedy sought. The breaching party shall be allowed a good-faith effort to cure. The remedy sought must be reasonably intended to allow the party to fulfill the material provisions of the contract such that the notifying party would waive the breach and the contract may continue if the remedy is provided by breaching party. The notifying party shall act in good faith and take all reasonable steps to allow breaching party to cure any such breach. Parties agree that thirty (30) days written notification, as defined in the "Notices" section of this contract, are a substantive, material and essential to the ability of the parties to perform their respective responsibilities. The parties intend for this notice and right to cure provision to supersede any other provision in conflict within this contract, whether those provisions be contained in a document with precedence or not.

(c) Company's Remedies - In the event Company terminates the Contract for breach by Licensee, Company shall have the right to exercise any one or more of the following remedies:

i. To sue for and recover all payments, then due or thereafter accruing hereunder;

ii. To immediately terminate all performance of Software Installation or Software Support;

iii. To demand surrender of the Software and make assurances the Software was completely removed from all storage media controlled by Licensee, to bring an action in a court with jurisdiction over Licensee seeking injunctive relief mandating such removal and surrender of the Software;

iv. To terminate the license as to any or all items of the Software; and

v. To pursue any other remedy available at law or in equity.

The foregoing remedies are cumulative and not exclusive or sequential.

(d) Limitation of Liability – In no event shall Company's liability for breach of contract exceed the sum of all funds previously paid to Company during the prior twelve months. This remedy is Licensee's sole and exclusive remedy for any non-conformities, defects or errors and all performance or non-performance problems related to the Contract Scope including without limitation any breach of warranty by Company. The parties intend for limitation of liability section to supersede any other provision in conflict within this contract, whether those provisions be contained in a document with precedence or not.

(e) Attorney Fees – Neither party shall be entitled to costs or expenses in exercising any of its rights or remedies in enforcing any of the terms, conditions or provisions hereof. The parties intend for this attorney fees section to supersede any other provision in conflict within this contract, whether those provisions be contained in a document with precedence or not. In the event this provision determined not to be enforceable, both parties shall reimburse the other party in proportion of their liability for reasonable costs and expenses, including attorneys' fees, costs and disbursement incurred by Company in exercising any of its rights or remedies in enforcing any of the terms, conditions or provisions hereof.

(f) Waiver - The waiver by either party, or the failure by either party, to claim a breach, or give notice with respect thereto, of any provision of this Contract shall not be, or be held to be, a waiver of any subsequent breach, or as affecting in any way the effectiveness, of such provision.

(g) Transition Upon Termination - During any Software Support Plan and upon an appropriate service request by Licensee, the Contractor shall provide software support services for an effective and efficient transition of service with minimal disruption to the State including cooperation and assistance to ensure that all State Data is securely transferred to the State, or a third party designated by the State, within thirty (30) calendar days of the request. The software support services provided shall assist Company's successor with a successful transition to the new service and/or equipment, with minimal downtime and adverse effect on the Licensee. Licensee Data will be transferred in SQL Server Database Backup format via a SFTP site specified by Licensee or through other media as required by the size of the data. During any Software Support Plan, the Company will provide a written statement or certificate to the Licensee stating that all Licensee data has been transferred or deleted or disposed of as directed by the Licensee.

14. Insurance

(a) Workers' Compensation Insurance - Company shall maintain during the term of this Contract workers' compensation insurance in compliance with applicable State law, which requires subject employers to provide workers' compensation coverage for all their subject workers.

(b) Professional Liability Insurance - Company shall maintain during the term of this Contract professional liability insurance with a combined single limit, or the equivalent, of not less than one and one-half (1-1/2) times the total amount payable to Company under this Contract for each claim, incident or occurrence to cover damages caused by error, omission, or negligent acts related to the professional services to be provided under this Contract.

(c) General Liability Insurance - Company shall maintain during the term of this Contract general liability insurance with a combined single limit, or the equivalent, of not less than one and one-half (1-1/2) times the total amount payable to Company under this Contract for each occurrence for bodily injury and property damage. It shall include contractual liability coverage for the indemnities provided under this Contract and endorsements for products, completed operations and personal injury. It also shall provide that the Licensee and their agencies, subdivisions, officers, employees and agents are additional insured but only with respect to Company's services to be provided under this Contract.

(d) Automobile Liability Insurance - Company shall maintain during the term of this Contract automobile liability insurance with a combined single limit, or the equivalent, of not less than the amount required under law for each accident for bodily injury and property damage, including coverage for owned, hired or non-owned vehicles, as applicable.

(e) Notice of Cancellation or Change - Company shall not cancel, cause a material change in, reduce its limits for or omit or intend not to renew the insurance coverage required under this Contract without thirty (30) calendar days' prior written notice from Company or its insurers to Licensee.

(f) Certificates of Insurance - The certificates shall specify all of the parties who are additional insured and shall indicate all deductible amounts or retentions for all self-insurance. If requested, complete copies of insurance policies shall be provided to Licensee. Company shall be financially responsible for all pertinent deductibles, self-insured retention, and self-insurance.

15. <u>Notices.</u> Any and all notices ("Notices") which either party hereto may desire to give to the other party hereunder shall be deemed to be duly given if and only if mailed by registered or certified mail, postage prepaid, addressed to the other party at its address as set forth below or at such other address as such party may designate to the other party in writing from time to time. Notification by any other means shall be considered a service request and a waiver of any related breach of contract dispute until such time as the party provides notice in accordance with this paragraph.

If to Company: GL Suite, Inc.

PO Box 591

Bend, Oregon 97709

If to Licensee: Mailing address identified by Licensee

on Licensee's public web site.

GL Suite Software

16. **Software License**. Company grants to Licensee and Licensee accepts from Company a non-exclusive, non-transferrable, perpetual license and right to use the GL Suite, a software application designed to support government regulatory agencies (the "Software") on the terms and conditions set forth in this Contract, exclusively for the following purposes defined in this section.

(a) Licensee may use the Software to support customers, licensees, and other third-parties for the purpose of providing these persons the ability to apply, renew and verify a license, permit, or registration and related information, documents and enforcement actions. Licensee may connect third-party software to the Software through Company provided interfaces to support the use identified in this paragraph.

(b) For the duration of this Contract, Company licenses to Licensee the rights to develop new customized functionality for the exclusive use of Licensee. All such developments by Licensee shall be considered part of the "Software."

(c) Company designed the Software for the purpose of meeting multiple Licensee needs without modification of software code distributed to all Licensees. Company retains the right to determine whether the functionality requirements shall be provided by configuration of the Software or by modifications to the Software distributed to all licensees.

(d) Software includes all new releases and versions, and deliverables provided as a Software Support Service.

17. **License Limitations**. The Software license granted by this Contract is limited.

(a) Licensee may not use, copy, modify, or transfer the Software, or any copy, in whole or in part, except as expressly provided for in this Contract.

(b) Licensee may copy the Software only for backup purposes, provided that Licensee reproduces all copyright and other proprietary notices that are on the original copy of the Software provided to Licensee.

(c) Company retains all rights, title and interest in and to all software, documentation, derivative works and other intellectual property developed, designed, created or contributed by Company pursuant to this Contract, excluding Licensee's domain name, and excluding the graphics and data supplied by Licensee.

(d) Licensee may transfer the Software and all rights under this Contract to another party together with a copy of this Contract if the other party agrees to accept the terms of this Contract and Licensee receives written authorization directly from Company prior to any such transfer. If Licensee transfers the Software, Licensee must at the same time either transfer all copies whether in printed or machine-readable form to the same party or destroy any copies not transferred. Any attempt to transfer any of the rights, duties, or obligations hereunder except as expressly provided for in this Contract is void.

(e) Licensee may not rent, lease, loan, resell for profit, distribute, or network the Software except as otherwise provided in this Contract.

(f) Licensee agrees not to disassemble, decompile, translate or convert into human readable form or into another computer language, reconstruct or decrypt, or reverse engineer, all or any part of the Software to develop new software with some or all of the functions of the Software.

(g) In the event Company ceases to exist and fails to assign its rights in the Software to another entity, Licensee shall have the right to make modifications of the Software source code notwithstanding the terms of this section.

(h) Licensee shall not donate, distribute, license, sell or otherwise authorize the use or possession of modifications to any person other than Licensee's employees.

(i) Any software, reports, data structures, and other work product created as a consequence of Software Support Services shall become the exclusive property of Company. Company licenses without additional charge Custom Programs to Licensee. License shall include all rights granted under the Software License and the additional rights to decompile and modify the software, reports, data structures, and other work product created as a consequence of software maintenance.

18. <u>**Software Component Licenses.**</u> Software includes the distribution of other licensed software code subject to the limitations noted below:

i. The Alex FTPS Client is distributed under the GNU Library General Public License (LGPL) Version 2.1, February 1999. Therefore, the licensee is entitled to all rights under that license to the Alex FTPS Client software assemblies only.

ii. Json.net Copyright (c) 2007 James Newton-King from Newtonsoft is provided under the MIT Free Software license. Therefore, the licensee is entitled to all rights under that license to Newtonsoft assembly only.

iii. The Sphorium Technologies Webdav.Net is distributed under the GNU Library General Public License (LGPL) Version 2.1, February 1999. Therefore, the licensee is entitled to all rights under that license to the Sphorium Technologies Webdav.Net software assemblies only.

iv. Software redistributes Telerik Rad Controls, Copyright © 2002-2012 Telerik. All rights reserved, for Ajax under license with Telerik. Licensee may not develop new software utilizing Telerik's software libraries without first obtaining a Telerik Developer's License. Licensee may configure and utilize Software features without a Telerik Developer's License.

19. <u>**Intellectual Property Protection**</u>. This Contract does not provide Licensee with title to or ownership of the Software, but only a right of limited use. Licensor shall have sole and exclusive ownership of all right, title and interest in and to the Software, all copies thereof, all derivative works, Program Concepts, and all related works and materials (including ownership of all copyrights, trademarks and other intellectual property rights pertaining thereto), in any media now existing or subsequently developed, whether created by Licensor or any other party, subject to the rights of Licensee expressly granted herein. Licensee agrees to protect Company's interest in the Software, as follows.

(a) Licensee agrees to allow access or use of the Software only by employees of Licensee or by contractors under a written Contract, which preserves Company's rights to the Software and that prevents contractors from using, redistributing, disclosing or otherwise violating the rights of Company.

(b) Licensee agrees to maintain the confidentiality of the Software including all concepts, documentation, methods, processes and ideas, and the structure, sequence, and organization, designs, data models, tables and set-ups, and interfaces embodied, or expressed therein (the "<u>Program Concepts</u>") and to use same only as expressly authorized in this License. Licensee shall not disclose, provide, or make the Software or Program Concepts available in any form or medium to any person, in whole or in part, except on a confidential basis to such of Licensee's employees and consultants who need to access the Software to enable Licensee to exercise its rights under this
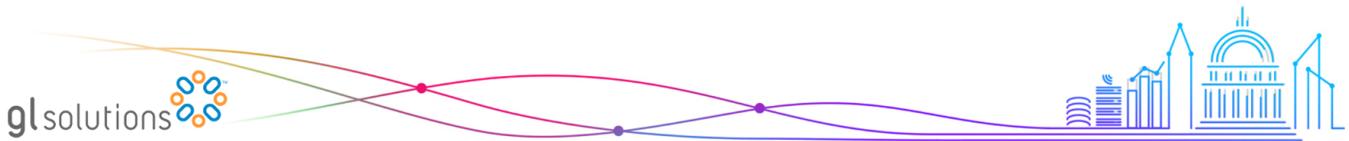
License. Licensee shall take reasonable steps to ensure that such employees and consultants will keep the Software and Program Concepts confidential, and Licensee shall be liable for any breach of this Contract by such employees or consultants.

(c) Licensee shall include all proprietary, copyright, trademark, design right and trade secret legends, in the same form and location as the legend appearing on the Software on all authorized backup and archival copies of the Software. Further, Licensee shall not remove any proprietary, copyright, trademark, design right or trade secret legend from the Software.

(d) Licensee shall, at its own expense, keep the Software free and clear of all levies, liens and encumbrances. Licensee shall give Company immediate notice of any attachment or other judicial process affecting the Software.

20. **Software Warranties.**

(a) Company warrants that Company has the full power and authority to grant the rights granted Licensee hereunder with respect to the Software, and neither the license or use by Licensee of the Software, as permitted under this License, will in any way constitute an infringement or other violation of any copyright, patent, trade secret, trademark or any other intellectual property right of any third party.

(b) In the event Software requires updating due to Federal, State statutory or regulatory requirements affecting Licensee, the Company's Software development department shall give its highest priority to the implementation of such updates, but Company does not warrant that all such updates will be completed, or that any updates will be completed by a certain time.

(c) In the event that the Software is, in the opinion of the Company, likely to or does become the subject of a claim for copyright or other intellectual property rights infringement, Company may, at its option and expense, either (1) procure for Licensee, the right under such third-party rights to use the Software; or (2) replace or modify the Software, or parts thereof, with other suitable and reasonable equivalent technology so that the Software becomes non-infringing; or (3) if it is not commercially reasonable to take actions specified in (1) and (2) immediately preceding, terminate this Contract and refund all license fees to Licensee.

Software Installation

21. <u>Installation Scope.</u> The scope of this contract includes migrating the Licensee from Licensee's current regulatory software to Software. The contract requires the project management methodology described in this section to produce software functionality.

(a) Software functionality required by this contract shall be defined through a process of refinement. Each deliverable shall refine a more general level of detail. When determining software functionality required by this contract, the following documents shall have precedence in the order listed:

> **i.** Specifications which includes detailed design documents including Self-Documenting Specifications, Report, Correspondence and Subform Designs, Web Page Specifications, and Security Specifications
>
> **ii.** Business Process Design or Web Site Design
>
> **iii.** Goal and Scope Document
>
> **iv.** Change Requests
>
> **v.** Contract, as amended
>
> **vi.** Company's Offer, as amended
>
> **vii.** Licensee's RFP, as amended

(b) Within 30 days following contract execution, Licensee and Company shall accept a Goal and Scope Document, which identifies the high level hosting environment, business processes, interfaces, outputs and legacy data sources required by the Software installation. The business requirements shall derive from the Company's offer in response to Licensee's RFP #_____. Upon Acceptance, Company shall rely upon the Goal and Scope Document to Guide Company's performance. The Goal and Scope Document shall be an amendment to this contract upon Acceptance.

(c) Within 30 days following contract execution, Licensee and Company shall Accept a Management Plan, which describes the project management methodology including scope, schedule, change, risk, deliverable review and communication management activities. The Management Plan shall be an amendment to this contract upon Acceptance.

(d) No later than 30 days prior to the planned commencement of User Acceptance Testing, Licensee and Company shall adopt a UAT Plan, which describes the objective, measureable criteria for beginning and successfully exiting UAT. Successful performance of the UAT exit criteria constitutes Licensee's direction to complete the migration and deliver the Software to the production environment.

22. <u>Company's Performance During Installation.</u> Company shall provide the services identified in the Management Plan and those listed in this section during the installation.

(a) Conversion – Company will to transfer legacy data from delimited or fixed length ASCII text files or an ODBC compliant data source to the Software. Transfer of data means the manipulation of data from a data source

to the table structure utilized by Software. Conversion Services does not include the identification or correction of data-entry or normalization errors present in legacy systems.

(b) Design – Company shall gather business requirements from Licensee and create designs and specifications that describe the Software functionality that accomplishes the business requirements gathered. Software may accomplish the functional outcomes of the Legacy System using alternate controls, steps and procedures, some of which may be faster or slower for users to execute in the Software than in the Legacy Software.

(c) Development – Company shall configure and program the Software to operate in accordance to Accepted specifications.

(d) Testing – Company shall perform unit and system tests to ensure the development conforms to the Accepted specifications.

(e) Training – Company shall provide end user training on how to use the software in as described in the Accepted specifications.

(f) Project Management – Company shall perform project scope, schedule, change, conflict, risk, deliverable review, and communication management activities.

(g) Project Tools – Company shall provide agency an online application ("GL Portal") which stores project communications, records Acceptance, stores project documents, lists Company and Licensee performance details, and describes the project schedule.

23. **Licensee's Performance During Installation.** Licensee shall provide the services identified in the Management Plan and those listed in this section during the installation. Licensee agrees that Company's performance is dependent upon Licensee's timely and effective cooperation with Company. Accordingly, Licensee acknowledges that any delay by Licensee waives the requirement for Company's timely performance; waives Licensee's rights to liquidated damages, if any; may cause delay in the overall completion of the Software Installation; and, shall result in a material contract change for additional hours of project management services. Performance by Licensee of the provisions of this section shall be an essential element of this contract. Licensee's failure to provide timely services is a material breach of this Contract.

(a) Conversion - Licensee shall produce legacy data along with documentation that describes the Legacy Data structure, relationships, fields and tables in detail sufficient to enable Company to convert the data to a format utilized by Software

(b) Subject Matter Expertise - Licensee shall provide all necessary staff required by Company to assist Company with the design. Staff shall possess subject matter expertise on Licensee's operations and business requirements.

(c) Change Management – Licensee shall provide all executive and management necessary to redirect or redefine the use of resources, business process, budget allocations, or other modes of operation necessary to ensure an effective and smooth software installation. Licensee's change management responsibilities shall include, but be limited to:

i. Licensee will use management resources to counter resistance from employees and align them to overall project objectives. The leading risk to software installations is inadequate agency personnel leadership and supervision.
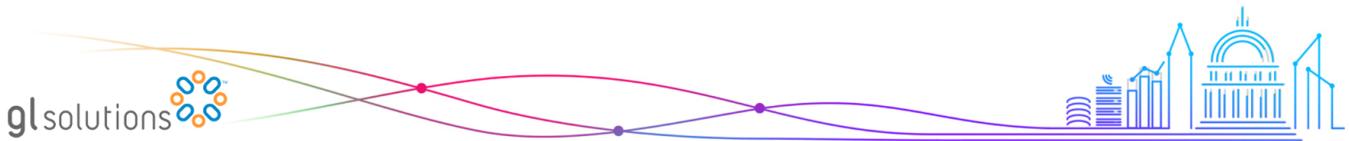
ii. Licensee will provide effective communication that informs project stakeholders of the reasons for the change, the benefits of successful implementation as well as the details of the change.

iii. Licensee will provide personal counseling (if required) to alleviate any change-related fears among employees.

iv. Licensee will monitor the implementation and fine-tune when required.

(d) Design – Licensee shall allocate necessary staff resources to provide detailed business requirement descriptions, review deliverables, and answer clarifying business requirement questions in accordance with the Management Plan.

(e) Communication Management - An employee of Licensee with direct supervisory authority over Software users shall attend all project management status meetings throughout the project.

(f) Training – Licensee share require training attendance and participation by appropriate staff as specified by Company. Licensee shall provide one or more employees with responsibility for retraining users and providing personal direction to employees requiring additional assistance.

(g) UAT - Licensee shall conduct UAT testing exclusively by following written process instructions and flow diagrams provided by Company and developed for each business process identified in the Goal and Scope Document. Licensee shall allocate necessary staff resources to complete UAT exit criteria in the UAT Plan including testing all processes during the UAT period.

(h) Licensee shall allocate necessary staff resources including, but not limited to, provide detailed business requirement descriptions, review deliverables, answer clarifying business requirement questions, perform UAT testing, and manage staff and process change within Licensee's organization.

24. <u>Software Support.</u> Company offers hosting, software, services and other software maintenance in support of the Software ("Software Support"). Licensee may purchase Software Support from Company through an annual software maintenance contract ("Software Support Plan").

i. Licensee's right to purchase a Software Support Plan from Company expires five years from execution of this Contract, unless otherwise extended by mutual agreement between the parties. Software Support Plans must be purchased for consecutive time periods. Failure by Licensee to purchase a Software Support Plan for any period of time terminates Licensee's right to purchase a Software Support Plan under this Contract.

ii. Licensee shall purchase the first Software Support Plan to begin on the first day of any Installation Service in a production environment. The first Software Support Plan shall be _____ (GL Simple – Enterprise if not specified). Licensee may select subsequent Software Support Plans annually by notifying Company in writing of the desired plan.

iii. Licensee shall make payments to Company prior to the first day the Software Support Plan period is effective. Company may, at Company's sole discretion, prorate GL Simple fees to coincide with the end of the Licensees fiscal year. In the event Licensee fails to make a payment prior to the first day of the Software Support Service plan effective date, all remaining payments for remain of the current annual plan shall immediately become due.

iv. Company Software Support Plans will only be provided for the most current and immediately prior version of the Software in effect at the time the Software Support Plan is purchased.

v. Company may increase the cost of any Software Support Service, as set forth on the Pricing Addendum, by a percentage not to exceed the consumer price index of the most recent twelve-month period reported by the United States Department of Labor. Company shall notify Licensee not less than three months prior to the commencement of the Licensee's fiscal year of any such increases.

25. <u>Software Support Plans</u>. Company offers Software Support Plans as labeled in the first row in the Software Support Plan table below. Each Software Support Plan includes the corresponding checked software maintenance services labeled in the first column of the Software Support Plan table below.

(a) Software Support Plan Table

Software Maintenance	Basic Tech Support	GL Simple Standard	GL Simple Professional	GL Simple Enterprise
Account Management				
Schedule Management	✓	✓	✓	✓
Scope Management	✓	✓	✓	✓
Risk Management	✓	✓	✓	✓

Software Maintenance	Basic Tech Support	GL Simple Standard	GL Simple Professional	GL Simple Enterprise
Communication Management	✓	✓	✓	✓
Client Engagement	✓	✓	✓	✓
Project Initiation	✓	✓	✓	✓
Local Group Support		✓ ŧ	✓ ŧ	✓ ŧ
Critical Project Prioritization		✓	✓	✓
Critical Task Prioritization			✓	✓
White Glove Service				✓ ŧ

Technical Support

24 X 7 Emergency Support	✓ 3 hr response	✓ ŧ 3 hr response	✓ ŧ 1 hr response	✓ ŧ 15 min response
End-User Support	✓	✓ ŧ	✓ ŧ	✓ ŧ
Design Review Facilitation	✓	✓	✓	✓
Configuration Troubleshooting		✓ ŧ	✓ ŧ	✓ ŧ
Developer-to-Developer Support		✓ ŧ	✓ ŧ	✓ ŧ
Hardware, Network and Security Tips		✓ ŧ	✓ ŧ	✓ ŧ
Architecture and Best Practice Guidance		✓ ŧ	✓ ŧ	✓ ŧ
Online Remote Desktop Support		✓ ŧ	✓ ŧ	✓ ŧ

Training and Documentation

Web Courses		✓ ŧ	✓ ŧ	✓ ŧ
Agency-Specific Process Training		✓ ŧ	✓ ŧ	✓ ŧ
Software Training		✓ ŧ	✓ ŧ	✓ ŧ
Administrator and Configuration Training		✓ ŧ	✓ ŧ	✓ ŧ
Administrator and Configuration Documentation		✓ ŧ	✓ ŧ	✓ ŧ
User Conference		✓	✓	✓

Software Patches and Release

New Software Releases	✓	✓	✓	✓

Software Maintenance	Basic Tech Support	GL Simple Standard	GL Simple Professional	GL Simple Enterprise
Core Software Patches	✓	✓	✓	✓
Installation of Core Software Patches	✓ Hosted Clients Only	✓	✓	✓
Installation of New Software Releases		✓ ŧ	✓ ŧ	✓ ŧ
Installation of Core Software Patches at Agency Data Center			✓ ŧ	✓ ŧ
Warranty and Enhancements				
Defect Correction	✓	✓ ŧ	✓ ŧ	✓
Warranty for Defect Correction	90 days	90 days	90 days	lifetime
Enhancement Tasks		✓ ŧ	✓ ŧ	✓ ŧ
Enhancement Projects		✓ ŧ	✓ ŧ	✓ ŧ
Data Center and Security				
PCI, NIST, HIPAA Compliance	✓ Hosted Clients Only	✓	✓	✓
Hosting		✓	✓	✓
Tiered Environments (Dev, Sys, UAT and Prod)		✓	✓	✓
Vendor Background Checks		✓ ŧ	✓ ŧ	✓ ŧ
On Premise Hosting Option			✓ ŧ	✓ ŧ
Security Assessment			✓ ŧ	✓ ŧ
Custom Network Isolation and Management			✓ ŧ	✓ ŧ
Multi-Factor Authentication				✓
Uptime Guarantee			95%	99.9%
Mobile Inspections				
Mobile Inspection Device and Data Plan				
Mobile Inspection Device (BYOD)				
Mobile Inspection Synchronization Service				
Mobile Inspection Form Development				
Mobile Inspection Dispatch Service				
On-Premise Mobile Dispatch and Synchronization DB				

Software Maintenance	Basic Tech Support	GL Simple Standard	GL Simple Professional	GL Simple Enterprise
Disaster Recovery				
Data Export Service		✓ ŧ	✓ ŧ	✓ ŧ
Site Health Dashboard			✓	✓
Hardware Redundancy			✓	✓
Automated Job and Interface Monitoring/Response				✓
Automated Site Monitoring/Response				✓
Disaster Plan Testing				✓
Backup Data Retention	7 days	7 days	14 days	3 months
Disaster Recovery	within 14 days	within 14 days	within 3 days	within 1 hour
Business Intelligence				
Power BI - Visual and interactive reports and dashboards for business analytics, including:				✓ ŧ
Power BI Reports and Dashboards within GL Suite				✓
Role based-security for Power BI Reports and Dashboards				✓
Drill through Power BI Reports and Dashboards that directly open records in GL Suite				✓
Automatically display one or more Power BI dashboard when Staff logs in				✓
Seamless deployment of Power BI Reports and Dashboard to Production environment				✓
Self-Service Administration (by Licensee)				
User Security Administration	✓	✓	✓	✓
Ticket and Project Tracking Portal	✓	✓	✓	✓
Automated Task and Project Promotion Between Environments	✓	✓	✓	✓
Business Rule Configuration	✓	✓	✓	✓
Output Modification	✓	✓	✓	✓
Self-Service Web Pages, Interfaces, Reports	✓	✓	✓	✓
Integrated Client/GLS Ticket Management			✓	✓
Access to your Agency data hosted on secure Azure platform				✓

Software Maintenance	Basic Tech Support	GL Simple Standard	GL Simple Professional	GL Simple Enterprise
Access your data using alternative tools (e.g. SQL Server Management Studio)				✓
Power BI Professional license for authoring and publishing				✓

ŧ Uses GL Simple plan task(s)/project(s), depending on scope of the request.

(b) Software Maintenance Items

　i. At the Company's sole discretion, Company may establish and modify reasonable policies affecting the definition of software maintenance items, the concurrency of item fulfillment, the definition of projects and tasks, and the request timing required to perform requests within a Software Support Plan.

(1) Generally a project includes a request for software maintenance with any of the following characteristics: 1) functionality requests that require coordination between Company and a third-party; 2) functionality requests with three or more finite deliverables which must be delivered in a specific sequence to meet the Licensee's business requirements; 3) functionality which may impact other aspects of the configured Software and therefore require a system test of an entire business process; or 4) service or functionality which requires the presence of a Company employee onsite at Licensee's place of business.

(2) Company may determine that a request is more than one project if the activities are designed to produce more than one specific final output; the activities may start and stop independently of one another; an output is being produced for more than one internal or external customer; or, the process steps substantially vary to produce the specific final output.

(3) Company may determine a request for a public web site enhancement is more than one project if the site includes alternate processing steps for ownership or employment changes, address change, names changes, status changes, fees, or license input based on license type or status or other license criteria.

(4) Company may require the use of a project prior to updating a web site or business process already in existence when Company's software development standards no longer support the specification or development standard because of improvements to the process or evolution of software standards.

(5) A task is a single request for a software maintenance item or modification or defect correction of the Software except requests that are a project.

(6) Company may subdivide software maintenance deliverables into one or more discrete deliverables for acceptance and payment by Licensee, as may be agreed to by Licensee.

　ii. Licensee acknowledges that failure to timely review or test software maintenance or to allocate sufficient and timely staff resources necessary to accomplish the purpose of this Contract shall delay the provision of project or tasks. The extent of the delay shall be determined by Company after consideration of Company's prior commitments to third parties, available Company resources, and Licensee's business needs.

　iii. Licensee shall use GL Portal to initiate software maintenance requests.

　iv. Software Patches and Software Releases – Software patches and releases are subject to GL Suite Software License terms of this Contract. Company may elect at Company's sole discretion the features and compatibility of new releases.

v. Hosting Service - Company shall install and maintain Software on a server(s) on Company's computer system or an alternate collocation facility chosen by Company; and, the provision by Company of all licenses, services and support required for the Software to be accessed via the Internet and meet performance, functionality and security requirements described in this Contract.

(1) Company shall be responsible for backing up the following components: application and database servers, application operating system, and configuration databases.

(2) Company shall perform daily incremental backups with weekly full backups. Backup media shall be rotated off-site on a weekly basis. The Company shall test recovery operations on a regular basis. The Company shall recover operations as necessary.

(3) Company may decline to install on Company's computer system any software not developed by Company based upon the reliability, design and/or resources required by such software.

(4) Company, in its sole discretion, may secure domain names and assign Internet address space (subject to reasonable availability) for the benefit of Licensee, and Company will route those addresses on Company's network; it being understood and agreed that neither Licensee nor any of its "Users" shall have the right to route these addresses. Licensee shall have no ownership interest in any IP addresses which Company obtains on Licensee's behalf and Company retains ownership of all such IP addresses, and upon termination of the Software Support Service, Licensee's access to and utilization of such IP addresses shall terminate.

(5) Company makes reasonable efforts to provide continuous internet access to Software. Company periodically disables access to Software for the purpose of maintenance and repair of Company's computer systems and Software. Company shall attempt to provide 24 hours' notice to users of the Software of planned access outages and such outages shall be scheduled during off-peak hours when possible. Unplanned outages may occur at any time due to failure of the Software, failure of the company's computer systems or failure of another party providing services relating to the Company's Internet access. Such unplanned outages may occur during peak usage times - even during the Licensee's peak renewal periods. Company shall immediately notify Licensee when an unplanned outage occurs and shall take reasonable efforts to restore Internet access to the Software when an unplanned outage occurs.

(6) Company is responsible for exercising a reasonable standard of care to maintaining the security of sensitive data, regardless of ownership. In event of a breach of the security of the sensitive data the Company will immediately notify the Licensee and work with the Licensee regarding recovery and remediation.

(7) The Licensee may inspect and review vendor operations for potential risks to the Licensee operations or data. The review may include a physical site inspection and an inspection of documentation such as security test results, IT audits, and disaster recovery plans.

(8) Company shall provide: effectively deployed and administered firewalls, intrusion detection with 24x7 alerting capability, incident response support, access controls to enforce restrictions on a need-to-know basis, established and tested policies and procedures, contingency plans and disaster recovery plans, security testing and evaluation process for security controls, to include regularly scheduled, at least annually, vulnerability assessments. Configuration settings required to maintain the system's security on the system itself and other Licensee systems that interface with it.
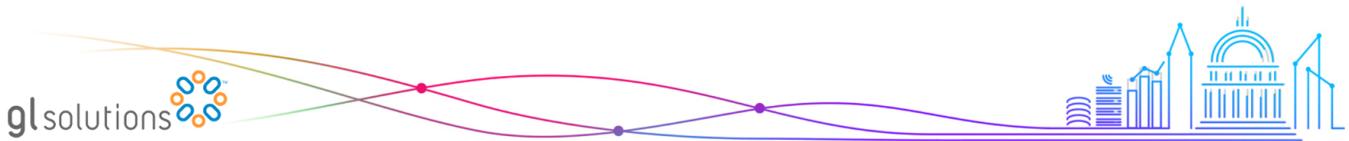
(9) Licensees using custom URLs assume the cost of the corresponding SSL Certification.

vi. Software maintenance not offered in a particular Software Support Plan may be purchased by Licensee individually at the rates specified in the Pricing Addendum.

(c) Company shall periodically create a project timeline, which identifies the latest date by which each party must perform specific duties in this contract in order to deliver timely tasks and projects.

(d) Within 30 days following the beginning of each Software Support Plan, Licensee and Company shall accept a Management Plan, which describes the project management methodology for delivery of software maintenance including scope, schedule, change, risk, deliverable review and communication management activities.

(e) Support Plan Costs - The annual cost of the Software Support Plans is based on the number of named Licensee' employees or contractors with access to the Software whether or not such usage is concurrent as shown in the Pricing Addendum.

i. All Software Support Plans shall be purchased for an annual term. Upon the expiration of any annual term, the Software Support Plan then in effect for Licensee shall be automatically renewed for an additional annual term, unless Licensee has provided Company 90-day's written notice of non-renewal or request to change Software Support Plans prior to the date of current Software Support Plan expiration.

ii. Licensee may elect quarterly or annual billing for the Software Support Plan fees. If the Licensee fails to make timely payment for a quarterly invoice, Company shall require annual payment of Software Support Plan fees. All amounts remaining in the Software Support Plan shall become due immediately.

iii. Software Support Plan fees are non-refundable. Licensee's obligation to pay Software Support Plan fees for the full duration of the annual plan period shall survive the termination of this Contract.

(f) GL Simple Software Support Plan - GL Simple Software Support Plans are offered in three tiers: Standard, Professional and Enterprise. Under all tiers, GL Simple software maintenance is provided by Company to Licensee on an annual basis at a predetermined, fixed annual cost.

i. Software maintenance items in the Software Support Plan Table noted as checked without the symbol "ŧ" are provided are provided with quantity limits.

ii. Software maintenance items in the Software Support Plan Table checked with the symbol "ŧ" are limited to a fixed number of "tasks" or "projects" per Software Support Plan based on the GL Simple tier. Each software maintenance item marked with the symbol "ŧ" consume a task or project. Company shall provide at least the minimum tasks and minimum projects specified for the tier in the chart below. Company may provide up to the maximum tasks and maximum projects shown below as Company resources and time allow, as determined solely by Company.

iii. GL Simple Support Plan Tiers

Tier	Minimum Tasks	Maximum Tasks	Minimum Projects	Maximum Projects
Standard	0.25 tasks/user/year or 24 tasks per year, whichever is greater	0.50 tasks/user/year	0.05 projects/user/year; but in no event more than 12 projects per year	0.10 projects/user/year or 12 projects per year, whichever is less
Professional	2 tasks/user/year or 24 tasks per year, whichever is greater	4 tasks/user/year	0.12 projects/user/year or 1 project per year, whichever is greater; but in no event more than 12 projects per year	0.25 projects/user/year or 12 projects per year, whichever is less
Enterprise	4 tasks/user/year or 48 tasks per year, whichever is greater	7 tasks/user/year	0.25 projects/user/year or 1 project per year, whichever is greater; but in no event more than 12 projects per year	0.5 projects/user/year or 12 projects per year, whichever is less

iv. From the date of the execution of this Contract through 90 days following the first production usage of the Software by Licensee, the GL Simple tier will be fully utilized by warranty and end user support for the Software Installation.

v. Fractional numbers of Projects or Tasks will be rounded down to the nearest whole number.

vi. Licensees with 25 or fewer named users may not purchase the Standard tier. Licensees with 7 or fewer named users may not purchase the Standard or Professional tier.

vii. Company may count requests for hosting services as tier projects or tasks if the hosting service is not already provided to clients hosted by Company. Alternately, Company may charge hourly fees for unusual hosting requests.

viii. Licensee may incrementally increase the minimum number of tasks or projects in a Software Support Plan GL Simple tier by paying an "Escalation Fee" in the amount applicable pursuant to the Pricing Addendum. Company shall endeavor to complete such projects and tasks as soon as possible. Licensee may not purchase software maintenance at hourly rates. GL Simple Software Support Plans require purchase of all software maintenance through tasks and projects.

ix. At the end of each year, if Company completes fewer than the number of minimum tasks or minimum projects and those tasks or projects were timely ordered by Licensee, Company shall continue to furnish effort to complete the minimum tasks and projects. If the Company provided at least the minimum tasks and projects, incomplete projects and tasks in excess of the minimum projects and tasks shall be rolled

over to the next plan year and count towards fulfillment of the next-year tier. Minimum tasks and project not completed during a Software Support Plan year where the Licensee caused delay of completion following the end of the Software Support Plan shall be rolled over to the next plan year and count towards fulfillment of the next-year tier.

x. Licensee may elect to exchange unused projects for eight tasks.

(g) Basic Tech Support Software Support Plan – The Basic Tech Support plan offers a limited warranty with most other software maintenance provided on a time and material basis.

(i) Basic Tech Support plans may not be purchased for fewer than 10 users.
(ii) Basic Tech Support plans include software maintenance items in the Software Support Plan Table noted as checked without quantity limits.
(iii) Basic Tech Support plans provide non-check software maintenance on a time and materials basis. At Licensee's option, Licensee may requests an estimate based on either a fixed-cost estimate of the work required OR the actual effort required to produce a desired result.
(iv) Upon request by Licensee, Company shall specify and provide a written authorization approval form for each request. The request shall contain a description and estimate of the hours required to complete the software maintenance. Estimates are quoted on anticipated effort, including warranty efforts, without regard to the time or material actually expended by Company. Upon written approval by Licensee, Company shall perform the software maintenance.
(v) Licensee may cancel software maintenance after approval of the estimate. Upon cancelation, Licensee shall pay to Company a fee based on all hours expended without regard to work product produced, if any.
(vi) Licensee shall pay invoices for time-and-materials based work on a monthly basis for each hour of Software Support Services rendered in the prior month regardless of the status of each service request.

IN WITNESS WHEREOF, the parties hereto have caused this Contract to be duly executed the day and year first above written.

GL Suite, Inc.

By_____

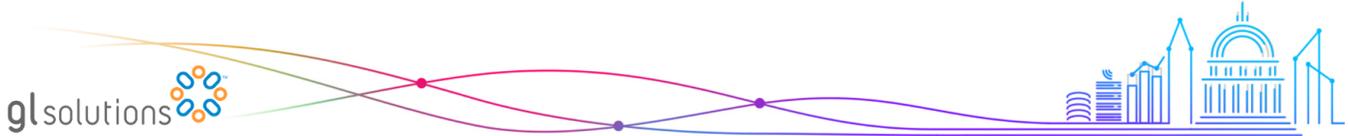*Signature, Title*   *Date*

Licensee

By_____

Signature, Title   *Date*

Pricing Addendum

GL Simple Plan

Support Plan..**Units**..**Cost Per Unit**

GLSimple

     Standard ....per user per year..$2,031.36

     Professional ....per user per year..$3,935.76

     Enterprise ....per user per year..$6,855.72

GLSimple Project Escalation Fee

     Standard ....per project..$9,134.64

     Professional ....per project..$5,708.89

     Enterprise ....per project..$5,708.89

GLSimple Task Escalation Fee

     Standard ....per task $913.04

     Professional ....per task $913.04

     Enterprise ....per task $629.50

Mobile Inspection Device and Data Plan ....per device per year .... 1 project

Mobile Inspection Device (BYOD) ....per device per year .... 1 task

Mobile Inspection Synchronization Service ....per year .... 1 project

Mobile Inspection Form Development ....per form .... 1 project

Mobile Inspection Dispatch Service...........................per year .... 1 project

On-Premise Mobile Dispatch

and Synchronization DB...per environment per year .... 1 project

Business Intelligence...per agency per year $10,000.00

Basic Tech Support Plan

Basic Support Plan ....per user $1,766.29
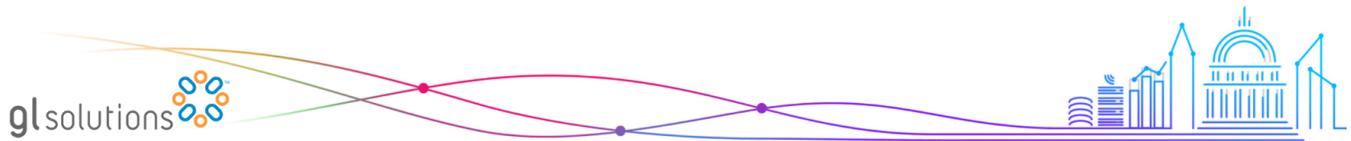
Hourly Rate Support ....per hour $135.74

Hosting Service ....per year for first 10 users..$11,767.96

Hosting Service ....per year for user 11-35 ....$23,534.91

Hosting Service ....per year for user 36+...$35,302.89

Mobile Inspection Device and Data Plan ....per device per year $5,708.89

Mobile Inspection Device (BYOD) ....per device per year $913.04

Mobile Inspection Synchronization Service ....per year $5,708.89

Mobile Inspection Form Development ....per form $5,708.89

Mobile Inspection Dispatch Service............................per year $5,708.89

On-Premise Mobile Dispatch

and Synchronization DB...per environment per year $5,708.89

Business Intelligence..per agency per year $10,000.00

WV Secretary of State - Enterprise Registration and Licensing System (ERLS)

Item No.	Item	Vendor Description	Unit of Measure	Quantity	Unit Price	Extended Cost
1	Commercial Off-the-Shelf (COTS) Enterprise Registration and Licensing System (ERLS) including License, Software, Set-up, Configuration, Installation, Historical Data Migration and System Training, including Five Years of Maintenance and Support/Warranty * Vendors should include an itemized breakdown of the charges below.	GL Solutions requires payment upon the receipt of the following key deliverables: The following is due upon contract execution: Named User Software License Fee: $40,000 Due annually, in advance of service Basic Warranty Support Plan: $75,925.87	Lump Sum	1	#########	$ 726,224.35
2	Sixth Year (6th) Maintenance and Support/Warranty **		Year	1	$75,925.87	$ 75,925.87
3	Seventh (7th) Year Maintenance and Support/Warranty **		Year	1	$75,925.87	$ 75,925.87
4	Eighth (8th) Year Maintenance and Support/Warranty **		Year	1	$75,925.87	$ 75,925.87
				Total for Item Nos. 1 through 4		$ 954,001.96

UNIT PRICES

Vendor should provide a unit price for custom programming. This unit price will only be used to execute formal Change Orders during the life of the contract, if required. Estimated Quantities are included for bid evaluation only; there is no guarantee that any quantity of the Item(s) will be purchased.

Item No.	Item	Vendor Description	Unit of Measure	Estimated Quantity	Unit Price	Extended Cost
5	Customization Programming		Hour	80	$ 139.59	$ 11,167.20
6	Transactional Fee		Each	30,000	$0	$ -
				Total for Item Nos. 5 and 6		$ -

Lowest Overall Total Cost (Item Nos. 1+2+3+4+5+6) =	$ 954,001.96

The Contract is intended to provide Agency with a purchase price for the Contract Services. The Contract shall be awarded to the Vendor that provides the Contract Services (Item Nos. 1 through 6 above) meeting the required specifications for the lowest overall total cost as shown on the Pricing Pages. Renewal options for years 6, 7, and 8 will be initiated by the Agency, agreed to by the Vendor and processed by the West Virginia Purchasing Division as Change Orders for subsequent years. Customization Programming will only be used to execute change orders during the life of the contract, if required.

*   **Breakdown of Costs for Item No. 1**

ERLS System	$ 195,985_____
License and Software	$ 96,000_____
Set-up, Configuration and Installation	$ 3,410_____
Historical Data Migration	$ 45,200_____
System Training	$ 6,000_____
Maintenance and Support/Warranty Years 1 through 5	$ 379,629.35_____
Unit Price for Customization Programming	$ 139.59/hr_____
Unit Price for Transactional Fee	$ 0_____

**   Years 6, 7 and 8 of annual maintenance and support/warranty will be added by subsequent change order upon mutual agreement between the vendor and the agency.

Vendor Name: GL Solutions_____

Authorized Signature: Unable to insert signatures in protected documents_____