West Virginia Purchasing Division

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.

**Solicitation Response(SR)** | **Dept:** 1600 | **ID:** ESR07291900000000419 | **Ver.:** 1 | **Function:** New | **Phase:** Final | **Modified by** batch , 07/29/2019

**Header** 2

List View

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

| | |
|---|---|
| **Procurement Folder:** 559309 | **SO Doc Code:** CRFQ |
| **Procurement Type:** Central Contract - Fixed Amt | **SO Dept:** 1600 |
| **Vendor ID:** VS0000008380 | **SO Doc ID:** SOS2000000001 |
| **Legal Name:** PCC Technology Inc | **Published Date:** 7/16/19 |
| **Alias/DBA:** | **Close Date:** 7/29/19 |
| **Total Bid:** $1,651,791.00 | **Close Time:** 13:30 |
| **Response Date:** 07/29/2019 | **Status:** Closed |
| **Response Time:** 10:14 | **Solicitation Description:** Addendum No. 3  (COTS) Enterprise Registration |
| | **Total of Header Attachments:** 2 |
| | **Total of All Attachments:** 2 |

**Proc Folder :** 559309

**Solicitation Description :** Addendum No. 3   (COTS) Enterprise Registration

**Proc Type :** Central Contract - Fixed Amt

| Date issued | Solicitation Closes | Solicitation Response | Version |
|---|---|---|---|
| | 2019-07-29<br>13:30:00 | SR        1600  ESR07291900000000419 | 1 |

---

**VENDOR**

VS0000008380

PCC Technology Inc

---

**Solicitation Number:**   CRFQ    1600         SOS2000000001

**Total Bid :**    $1,651,791.00         **Response Date:**    2019-07-29      **Response Time:**    10:14:28

**Comments:**

---

**FOR INFORMATION CONTACT THE BUYER**

Melissa Pettrey

(304) 558-0094
melissa.k.pettrey@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 |
|------|--------------|-----|------------|------------|------------------------------|
| 2 | Setup/Configuration/Installation | | | | $996,128.00 |

| Comm Code | Manufacturer | Specification | Model # | |
|-----------|--------------|---------------|---------|---|
| 81112300 | | | | |

**Extended Description :** Setup/Configuration/Installation

**Comments:** See additional information in the response: WV ERLS_RFQ SOS2000000001_PCC_20190729 and WV ERLS_RFQ SOS2000000001 Pricing_PCC_20190729

| Line | Comm Ln Desc | Qty | Unit Issue | Unit Price | Ln Total Or Contract Amount |
|------|--------------|-----|------------|------------|------------------------------|
| 3 | Historical Data Migration | | | | $87,293.00 |

| Comm Code | Manufacturer | Specification | Model # | |
|-----------|--------------|---------------|---------|---|
| 81112300 | | | | |

**Extended Description :** Historical Data Migration

**Comments:** See additional information in the response: WV ERLS_RFQ SOS2000000001_PCC_20190729 and WV ERLS_RFQ SOS2000000001 Pricing_PCC_20190729

| Line | Comm Ln Desc | Qty | Unit Issue | Unit Price | Ln Total Or Contract Amount |
|------|--------------|-----|------------|------------|------------------------------|
| 5 | System Training | | | | $32,735.00 |

| Comm Code | Manufacturer | Specification | Model # | |
|-----------|--------------|---------------|---------|---|
| 81112300 | | | | |

**Extended Description :** System Training

**Comments:** See additional information in the response: WV ERLS_RFQ SOS2000000001_PCC_20190729 and WV ERLS_RFQ SOS2000000001 Pricing_PCC_20190729

| Line | Comm Ln Desc | Qty | Unit Issue | Unit Price | Ln Total Or Contract Amount |
|------|--------------|-----|------------|------------|------------------------------|
| 6 | First year Technical Support/Maintenance | | | | $120,635.00 |

| Comm Code | Manufacturer | Specification | Model # | |
|-----------|--------------|---------------|---------|--|
| 81112300 | | | | |

**Extended Description :** First year Technical Support/Maintenance

**Comments:** See additional information in the response: WV ERLS_RFQ SOS2000000001_PCC_20190729 and WV ERLS_RFQ SOS2000000001 Pricing_PCC_20190729

| Line | Comm Ln Desc | Qty | Unit Issue | Unit Price | Ln Total Or Contract Amount |
|------|--------------|-----|------------|------------|------------------------------|
| 7 | Second year Technical Support/Maintenance Optional | | | | $165,000.00 |

| Comm Code | Manufacturer | Specification | Model # | |
|-----------|--------------|---------------|---------|--|
| 81112300 | | | | |

**Extended Description :** Second year Technical Support/Maintenance-Optional Renewal.

**Comments:** See additional information in the response: WV ERLS_RFQ SOS2000000001_PCC_20190729 and WV ERLS_RFQ SOS2000000001 Pricing_PCC_20190729

| Line | Comm Ln Desc | Qty | Unit Issue | Unit Price | Ln Total Or Contract Amount |
|------|--------------|-----|------------|------------|------------------------------|
| 8 | Third year Technical Support/Maintenance- Optional | | | | $125,000.00 |

| Comm Code | Manufacturer | Specification | Model # | |
|-----------|--------------|---------------|---------|--|
| 81112300 | | | | |

**Extended Description :** Third year Technical Support/Maintenance - Optional Renewal

**Comments:** See additional information in the response: WV ERLS_RFQ SOS2000000001_PCC_20190729 and WV ERLS_RFQ SOS2000000001 Pricing_PCC_20190729

| Line | Comm Ln Desc | Qty | Unit Issue | Unit Price | Ln Total Or Contract Amount |
|------|--------------|-----|------------|------------|------------------------------|
| 9 | Fourth year Technical Support/Maintenance - Optional | | | | $125,000.00 |

| Comm Code | Manufacturer | Specification | Model # | |
|-----------|--------------|---------------|---------|--|
| 81112300 | | | | |

| Extended Description : | Fourth year Technical Support/Maintenance - Optional Renewal |
|------------------------|--------------------------------------------------------------|

**Comments:** See additional information in the response: WV ERLS_RFQ SOS2000000001_PCC_20190729 and WV ERLS_RFQ SOS2000000001 Pricing_PCC_20190729

# Enterprise Registration and Licensing System (ERLS)

*West Virginia Secretary of State*

**DATE: July 29, 2019**

**RESPONSE TO: RFQ SOS2000000001**

**SUBMITTED BY:**

PCC Technology Inc.

100 Northfield Drive, Suite 300A

Windsor, CT  06095

**PROPOSAL CONTACT**:

Seth Klaskin, Sales Executive

seth.klaskin@pcctg.com

203.376.6463

State of West Virginia
Department of Administration, Purchasing Division
Melissa Pettrey, Senior Buyer
2019 Washington Street, East
Charleston, WV 25305

July 29, 2019

RFQ: SOS2000000001

Dear Ms. Pettrey,

PCC Technology Inc. (PCC) is pleased to respond to the above referenced RFQ and is enthusiastic about the prospect of expanding its partnership with the West Virginia Secretary of State (WVSOS). With a proven track record working with the WVSOS, as well as other state agencies throughout the United States, PCC has the people, the process, and the product to most skillfully meet the requirements of this RFQ.

We are pleased to offer aspects of our Cenuity Business Services Suite, along with our software development lifecycle skills and domain-specific migration and data conversion services experience to meet the qualifications and requirements of the RFQ. Our Cenuity product is a business services and licensing-specific platform that is a high fit for this project and can deliver the requirements with precision.

**PCC is the market leader in business services and presents the least risk to accomplish the objectives of the WVSOS**, with our 18 U.S. business services-related contracts and our 100% success rate implementing enterprise registration and licensing systems. PCC has a wealth of experience with registration and license filings and registries (including occupational and business licensing), notary administration (with authentications and apostille), trademarks/service marks, public records requests, charities and fundraisers, and athletic agents, making PCC the best match to ensure project success.

With the re-issue of this RFQ, the Secretary requires a rapid deployment of this system. PCC deployed the Secretary's Campaign Finance Reporting System on a truncated project timeline, proving we can successfully deploy our systems to meet a compressed timeframe. The timeline presented in this proposal represents a reduction of three full months off of the schedule PCC submitted in 2018, and at seven months in total we would offer that no competitor has ever proven the capabilities to deliver a similar scope in less time, and without risk.

PCC affirms that we can meet the requirements set forth in the RFQ, and our pricing is based on those requirements and the format of the Pricing Sheet. However, our domain experience gives us insight as to where we may be able to offer further money-saving ideas. If awarded this contract, we would be happy to work with the state to propose ideas where we think the state can economize on this project and still manage the mission with optimized efficiency. If additional information is required, please feel free to contact our Account Executive, Seth Klaskin by e-mail at seth.klaskin@pcctg.com or by phone at 860.580.7301 (o) or 203.376.6463 (m).

Regards,

John T. Bastin
Chief Executive Officer

PCC Technology Inc.
100 Northfield Dr, Ste 300A
Windsor, CT 06095

PCCtechnologyinc.com
t: 860 242 3299
info@pcctechnologyinc.com

# TABLE OF CONTENTS

PCC | A GCR COMPANY

# 1. SIGNED RFP COVER PAGE

| | **Purchasing Divison**<br>2019 Washington Street East<br>Post Office Box 50130<br>Charleston, WV 25305-0130 | **State of West Virginia**<br>**Request for Quotation**<br>**21** — **Info Technology** |
|---|---|---|

| Proc Folder: 559309 | | | | |
|---|---|---|---|---|
| Doc Description: Commercial Off-the-Shelf (COTS) Enterprise Registration | | | | |
| Proc Type: Central Contract - Fixed Amt | | | | |
| **Date Issued** | **Solicitation Closes** | **Solicitation No** | | **Version** |
| 2019-07-01 | 2019-07-15<br>13:30:00 | CRFQ      1600  SOS2000000001 | | 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:** |
| PCC Technology Inc.<br>100 Northfield Drive<br>Suite 300A<br>Windsor, CT  06095<br>860-242-3299 |

| **FOR INFORMATION CONTACT THE BUYER** | | | |
|---|---|---|---|
| Melissa Pettrey<br>(304) 558-0094<br>melissa.k.pettrey@wv.gov | | | |
| Signature X | FEIN # 47-5570803 | DATE 7/11/2019 | |

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

| Purchasing Divison<br>2019 Washington Street East<br>Post Office Box 50130<br>Charleston, WV 25305-0130 | State of West Virginia<br>**Request for Quotation**<br>21  —  Info Technology | | |
|---|---|---|---|

**Proc Folder:** 559309

**Doc Description:** Addendum No. 1   (COTS) Enterprise Registration

**Proc Type:** Central Contract - Fixed Amt

| Date Issued | Solicitation Closes | Solicitation No | | Version |
|---|---|---|---|---|
| 2019-07-02 | 2019-07-15<br>13:30:00 | CRFQ      1600  SOS2000000001 | | 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:

PCC Technology Inc.
100 Northfield Drive Suite 300A
Windsor, CT  06095
860-242-3299

**FOR INFORMATION CONTACT THE BUYER**
Melissa Pettrey
(304) 558-0094
melissa.k.pettrey@wv.gov

Signature X   _[signature]_          FEIN #   47-5570803          DATE   7/2/2019

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

| | | |
|---|---|---|
| **Purchasing Divison**<br>2019 Washington Street East<br>Post Office Box 50130<br>Charleston, WV 25305-0130 | **State of West Virginia**<br>**Request for Quotation**<br>**21 — Info Technology** | |

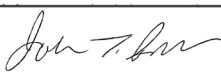| | | | | |
|---|---|---|---|---|
| Proc Folder: 559309 | | | | |
| Doc Description: Addendum No. 2 (COTS) Enterprise Registration | | | | |
| Proc Type: Central Contract - Fixed Amt | | | | |
| **Date Issued** | **Solicitation Closes** | **Solicitation No** | | **Version** |
| 2019-07-02 | 2019-07-15<br>13:30:00 | CRFQ     1600   SOS2000000001 | | 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:

PCC Technology Inc.
100 Northfield Drive Suite 300A
Windsor, CT  06095
860-242-3299

**FOR INFORMATION CONTACT THE BUYER**
Melissa Pettrey
(304) 558-0094
melissa.k.pettrey@wv.gov

Signature X _____    **FEIN #**   47-5570803      **DATE** 7/11/2019

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

| | Purchasing Divison<br>2019 Washington Street East<br>Post Office Box 50130<br>Charleston, WV 25305-0130 | State of West Virginia<br>Request for Quotation<br>21 — Info Technology | |
|---|---|---|---|

**Proc Folder:** 559309

**Doc Description:** Addendum No. 3   (COTS) Enterprise Registration

**Proc Type:** Central Contract - Fixed Amt

| Date Issued | Solicitation Closes | Solicitation No | Version |
|---|---|---|---|
| 2019-07-16 | 2019-07-29<br>13:30:00 | CRFQ     1600  SOS2000000001 | 4 |

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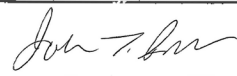
BID CLERK
DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
2019 WASHINGTON ST E
CHARLESTON                           WV        25305
US

**VENDOR**

Vendor Name, Address and Telephone Number:

PCC Technology Inc.
100 Northfield Drive Suite 300A
Windsor, CT  06095
860-242-3299

**FOR INFORMATION CONTACT THE BUYER**

Melissa Pettrey
(304) 558-0094
melissa.k.pettrey@wv.gov

Signature X _____        FEIN #  47-5570803        DATE  7/16/2019

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

Page :  1                                                    FORM ID : WV-PRC-CRFQ-001

# 2. ADDENDA ACKNOWLEDGEMENT FORM

### ADDENDUM ACKNOWLEDGEMENT FORM
#### SOLICITATION NO.: CRFQ  SOS2000000001

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 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.

PCC Technology Inc.
_____
Company

_____
Authorized Signature

July 24, 2019
_____
Date

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

Revised 06/05/2019

# 3. EXECUTIVE SUMMARY

## 3.1 West Virginia's Vision

The West Virginia Office of the Secretary of State (WV SOS), Business and Licensing Division (Division) is a diverse division that houses many crucial functions. Among those functions are Occupational and Charitable Licensing. Within the Division's organizational structure, Notaries administration falls within the Licensing category as well. This RFQ seeks an Enterprise Registration and Licensing System (ERLS) that can address, largely out-of-the-box, business and occupational licensing, charitable organization licensing, notaries administration, and public records requests (including FOIA administration and online document search).

Although administered by one Division, these various functions presently operate as distinct applications on various legacy, intermediary, and existing online customer-facing systems. The Division requires an experienced vendor partner to modernize, unify, and integrate these functions, allowing them to work in a systematic way on a cloud platform. Moreover, the Division requires a skilled vendor partner that can support the new system and offer additional business registry enhancements and modules over the course of the contract.

PCC learned last year that the West Virginia Legislature took up a measure to add a Morticians License/Funeral Directors Registry to the mission of the Secretary. While the measure did not pass, there is a chance it will pass in an upcoming session. PCC is ready and able to implement that registry and its related filings through an enhancement, should that initiative pass into law requiring the addition of Morticians and Funeral Directors to the WVSOS licensing mission.

## 3.2 Enterprise Registration and Licensing System (ERLS)

In response to the Requirements included in this Request for Quotation (RFQ), PCC proposes to implement key components of its field-tested, feature-rich, and mature Cenuity® Business Services Suite (Cenuity) that contains domain-specific modules for Notaries Public, Charitable Organizations, and Trademarks and Service Marks. Cenuity contains a proprietary form processing engine developed to address the unique needs of the government sector. This focus in design combined with the experience and expertise of PCC's staff allows us to quickly configure and deploy Cenuity to meet the Requirements of this RFQ as well as positioning the State to efficiently pivot to changing or new requirements that may arise in the future. In addition to the Enterprise Registration and Licensing System, PCC offers its experienced software development and migration/data conversion services to the Office of the West Virginia Secretary of State Business and Licensing Division.

Our experience in implementing 16 enterprise registration and licensing solutions provides the Division with the confidence that PCC is capable of unifying the service areas identified in the RFQ into one integrated platform. This platform will also serve to support future enhancements to the occupational and charitable licensing databases, as well as providing the potential to support future business registry needs of the Division.

PCC has developed a strong reputation and the largest market position in the U.S. commercial registry field with no failed registry implementations in our company's 24-year history, and a record of success with the most complex implementations involving third-party agencies and service providers. PCC and Cenuity represent the

best value for the State of West Virginia by deploying a highly matched product that is proven across many implementations, thereby minimizing the State's risk.

The table below illustrates the eight (8) service areas identified in the RFQ, and the corresponding functionality of Cenuity.

| Service Area(s) | How PCC Meets the Need |
|---|---|
| • Notary & Authentications/Apostille Administration<br>• Trademarks and Service Marks<br>• Public Record Requests (Plain & Certified Copies) | Cenuity incorporates these service areas in most of its 18 enterprise registration-related implementations across the U.S. PCC has implemented eight Notary & Authentication/Apostille systems and several Trademark & Service Mark applications, while every business registry and UCC filing system implementation includes Public Records Requests. Our work has set the standard for leveraging automation to turn legacy, paper-based filing offices into business process models of efficiency. PCC's online filing interfaces are intuitive and welcoming, driving better than 90% online filing rates in our partner jurisdictions (most often between 95% to 99% adoption). PCC's technology virtually eliminates loathsome rejections by guiding filers with prompts and well-placed assistance, and by blocking the submission of a filing unless the proper fields are completed. |
| • Charitable Organizations<br>• Athletic Agents | PCC has implemented two Charities & Solicitors systems (for Washington and New Hampshire). We have implemented Athletic Agents registries in three states (Vermont, New Hampshire, and Georgia). While these are not always standard additions to the Business Divisions of many states, we nevertheless have amassed experience in these service areas and will be able to accelerate implementation to meet a rapid deployment schedule. |
| • Marriage Celebrants (Minister Registry)<br>• Scrap Metal Dealers<br>• Private Investigators and Security Guards | PCC is a full-service software development company with emphasis in Secretary of State markets and expertise in registry systems. In our 24-year company history we have never encountered a registry filing type we could not automate. We have reviewed the requirements associated with these registries and their respective filing types and we are confident we can successfully utilize our form processing engine to implement these to the State's specifications to meet the Secretary's needs. |

# 3.3 Qualifications

PCC is the market leader in US implementations of enterprise registration and licensing software. We are proud of our 18 US contracts for enterprise registry systems, and component systems, many of which contain modules for notaries public, apostille, and licensing. Figure 1, below, provides a detailed breakdown of our enterprise registry modules by client.

**PCC Enterprise Registration and Licensing Experience**

- Enterprise Registration: 16 implementations
- Notary Public:  10 implementations
- Charitable Organization: 2 implementations
- Athletic Agents: 3 implementations

PCC became a leader in this field in 2003 with our implementation of the Connecticut ONline COmmercial Recording Database (CONCORD) business registration filing system that was comprised of modules for notaries public, business registration, UCC and liens register, trademarks and service marks, and service of process. We have continually enhanced our product offering by working side-by-side with filing offices to become subject matter experts in the areas of enterprise registration, notary public, apostille, and licensing, as well as additional services such as UCC, writs/service of process (SOP), and trademarks. Fourteen years and numerous registry implementations later, we implemented a Corporations and Charities Filing System for the State of Washington Corporations Division that replaced their legacy system with one portal for the distribution and management of corporate and charitable organization information.

PCC has a 100% success rate in delivering solutions to state governments dating back to 1995. This success is a testament to the dedication of our experienced, professional staff, to the company's devotion to partnership with our state agency clients, and to our skill in delivering complex systems with complicated migration and data conversion scenarios, on time and within budget.

| CLIENTS | UCC & LIENS | BUSINESS REGISTRATIONS | NOTARIES & AUTHENTICATION | TRADEMARK | BUSINESS ONE-STOP |
|---|---|---|---|---|---|
| Arizona | | ▶ | | | |
| Arkansas | | | ▶ | | |
| Connecticut | ▶ | ▶ | ▶ | ▶ | ▶ |
| Florida | ▶ | ▶ | ▶ | ▶ | |
| Georgia | | ▶ | | ▶ | |
| Indiana | ▶ | ▶ | | ▶ | ▶ |
| Louisiana | ▶ | ▶ | ▶ | ▶ | ▶ |
| Michigan | ▶ | | | | |
| Nebraska | ▶ | ▶ | ▶ | ▶ | |
| Nevada | ▶ | ▶ | ▶ | ▶ | |
| New Hampshire | ▶ | ▶ | ▶ | ▶ | |
| New Mexico | ▶ | ▶ | ▶ | ▶ | ▶ |
| New York | | ▶ | | | |
| North Dakota | ▶ | | | | |
| Utah | ▶ | | | | |
| Vermont | ▶ | ▶ | | ▶ | ▶ |
| Virginia | ▶ | ▶ | | | |
| Washington | | ▶ | | ▶ | |
| Wisconsin | ▶ | | | ▶ | |

**KEY**

▶ = IN PRODUCTION

▶ = IN PROGRESS / NEXT PHASE

*Figure 1: PCC Enterprise Registration and Licensing System Clients*

### 3.3.1    A Trusted Partner

PCC has been a trusted partner to WVSOS since 2004 when we implemented the Secretary's Statewide Voter Registration System (SVRS).  We have displayed our ability to deploy our services and our applications rapidly (most recently with the 4-month implementation of the Secretary's Campaign Finance Reporting System that went live in January 2018), which evidences PCC's ability to meet the tight project delivery windows preferred for this project. We have proven our ability to work successfully within the laws and policies of your State, and to migrate and convert high volumes of disparately situated data when replacing crucial WVSOS systems. PCC can be trusted to provide accurate and timely migration of data in support of an on-time go-live.

### 3.3.2    PCC Business Services Leadership

PCC brings the industry's best resources to each project by providing skilled and experienced professionals to meet the project deliverables and tasks envisioned for the project. Our people are the key to our success and have experience in successfully implementing large business filing and registration projects with demonstrated ability to meet deadlines and deliver projects on time. Supporting project professionals are Business Services Leaders as described below who will provide guidance and expertise to oversee a successful implementation and transition to the State, as well as follow-on maintenance and support.

| Business Services Leader | Expertise |
|---|---|
| David Montgomery **Executive Vice President and General Manager** | David is the Executive Vice President and General Manager of PCC.  He is an accomplished senior-level information technology executive with over 21 years of experience in various industries including corporate, government, and solution consulting. David held the position of CIO for the State of Ohio, Secretary of State. David is a member of the National Association of State Chief Information Officers (NASCIO) and is a certified project manager. <br><br> David provides executive oversight and governance to implementation project teams supporting state government solutions on business services and elections projects. David functions as the primary contract owner for decision making and client escalations on these projects, and he gained experience with specific oversight of a large ERLS at PCC when he oversaw delivery of the Washington State Charities & Corporations project. |
| Ranga Kalakuntla **AVP, Delivery** | Ranga is the Assistant Vice President of Delivery for the Business Services division, providing executive oversight to all business services implementations in Nevada, Utah, New York, Virginia, and Florida. He has worked hands on in Nevada for the last 15 months as the delivery executive for the implementation of a business services, UCC, notary, and trademark system. |
| Raghu Chandra **AVP, Development** | Raghu is the Assistant Vice President of Development for the Business Services division and a Certified Scrum Master with over 17 years of experience in the IT industry focusing on Business Services solutions and PCC's Cenuity Business Services Suite. Through his extensive experience working on many of our business solution related projects, Raghu is our resident SME and a trusted source of expertise and experience for our business registration, notary, trademark, and UCC filing projects. |

| Business Services Leader | Expertise |
|---|---|
| Vishal Hanjan<br>**AVP, Product Management** | Vishal is the Assistance Vice President of Product Management overseeing development of all PCC's products including Cenuity Business Services Suite.  He has ten years of experience and has served in a variety of roles for business services and enterprise licensing projects including analysis, design, project manager, project executive, solution architect, and product manager.<br><br>He has his Master's in Business Administration (MBA) and Master of Science in Management from the University of Maryland and his Bachelor of Science in Physiology/Neurobiology from the University of Connecticut.<br><br>In 2014, Vishal architected the award-winning Indiana One Stop Solution (InBiz) and Business Services Registry Solution. He worked at the ground level as the project manager for the Vermont Business Portal and continues to provide oversight to business services projects and product development. |
| Jeremy Steben<br><br>**Cenuity Product Manager and Subject Matter Expert** | Jeremy leads the product development roadmap of the Cenuity product, which has been enhanced to Version 3.1 following innovations in its implementation in Nevada. Jeremy was previously the lead business analyst for the Nevada implementation before he took his position in the product organization. He earned his subject matter expertise after through his work on numerous Cenuity implementations as a functional lead and business analyst:<br><br>• State of New Hampshire<br>• State of North Dakota<br>• State of New Mexico<br>• State of Vermont |
| Seth Klaskin<br><br>**Account Executive** | Seth is the Account Executive for the West Virginia account.  As Account Executive, Seth will use his unique insight into this administrative mission to serve as a resource to the Division and an advocate for the WVSOS throughout and after the project. Seth served for over eight years as the Director of Business Services for the Secretary of the State of Connecticut before coming to PCC. In that role, he managed the division that had responsibility for the same administrative mission as that of the West Virginia Business and Licensing Division. |

### 3.3.3     Minimum and Mandatory Qualifications

PCC meets and exceeds the minimum and mandatory qualifications.  Detailed information can be found in Sections 5.3 Minimum Qualifications and 5.4 Mandatory Qualifications below.

## 3.4 Scope Summary

| Scope Item | PCC Comments |
|---|---|
| **Implementation** | 7-Month Implementation of ALL requested business services areas.<br><br>• **Gap Analysis**<br>   o Functional Specifications Documents<br>• **Configuration/Customization**<br>• **Data Conversion**<br>   o 9 Data sources identified as part of the RFQ<br>   o Any manual data cleansing performed by the State if required.<br>• **Testing**<br><br>   o Unit (PCC)<br>   o SIT (PCC)<br>   o User Acceptance (WVSOS)<br><br>• **Training**<br><br>   o 1-Week of classroom training for Users and Administrators with a "train-the-trainer" focus.<br><br>• **Rollout** |
| **Technical Support and Maintenance** | PCC is proposing a fixed price implementation with a contracted Maintenance & Support plan with industry competitive SLA terms. The Maintenance and Support will start upon go-live, running concurrently with the Warranty, and the price of the Maintenance & Support plan is reduced in the first year to offset the duration of the 90-day Warranty period.  Appendix 1 is PCC's standard Software License, Hosting, and Maintenance agreement. |
| **Hosting** | Hosting on the AWS Cloud for the duration of the contract, based on specifications and provisions of Appendix 1: Enterprise Registration and Licensing Proposed Contract (which includes provisions for Maintenance & Support, Licensing, and Hosting). |

# 4. GENERAL TERMS AND CONDITIONS

DESIGNATED CONTACT: Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.

Seth Klaskin, Sales Executive

(Name, Title)

100 Northfield Drive, Suite 300, Windsor, CT 06095

(Printed Name and Title) (Address)

(O)  (860) 580-7301 (F) (860) 219-0615  seth.klaskin@pcctg.com
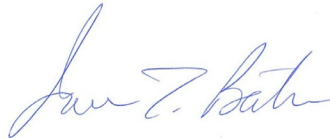
(Phone Number)/ (Fax Number) (email address)


CERTIFICATION AND SIGNATURE: By signing below, or submitting documentation through wvOASIS, I certify that I have reviewed this Solicitation in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that I am authorized by the vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on vendor's behalf; that

I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

PCC Technology Inc.
(Company)

_____
(Authorized Signature) (Representative Name, Title)


John T. Bastin, Chief Executive Officer
(Printed Name and Title of Authorized Representative)


July 24, 2019
(Date)


(860) 580-7318  (860) 219-0615
(Phone Number) (Fax Number)

# 5. SPECIFICATIONS

## 5.1    Purpose and Scope

**1. Purpose and Scope:** The West Virginia Purchasing Divisions is soliciting bids on behalf of the West Virginia Secretary of State (Agency) 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, charitable licensing, notaries, trademark, Apostilles, and FOIA databases.

The ERLS shall be created for the handling of all registration and/or licensing or needs relating to the following service areas:

Cenuity Business Services Suite (Cenuity) is a consolidated system that was conceived specifically for Secretary of State offices. The business services divisions of these agencies were historically fraught with paper-based processes. PCC set out to create a system to tackle this problem using a two-prong approach. First, the statutory filings that were conducted and sent to the agency via paper, such as annual reports, needed to have a way to be digitized and entered into an electronic system as early as possible so that they could be efficiently processed by back office staff. Next, the system had to provide the general public with a way to interact with the agency's services and data in a self-service manner that would be convenient to the constituent. This meant creating the separate in-house and public user portals to handle these differing needs related to the same filings.

Cenuity is comprised of a solution "Core" and modules of functional business domain-specific functionality (e.g. Notary Public Registry module) that can be implemented depending upon the needs of the client agency. Cenuity's Core functionality handles work routing, document intake and repository, reporting and correspondence and fiscal receipting and maintenance, as well as all other solution maintenance and configuration tools. Non-domain specific correspondence such as receipts and account confirmation emails are also contained within the core functionality. Cenuity's Core is the reliable, proven backbone of the solution and will be configured by PCC to be State specific for items such as: State headers, footers, seals, contact information and State business rules regarding frequency of jobs and reports, fiscal object and fee configurations, work queue configurations and modifications as needed to system reports to meet State statutory requirements.

Each Cenuity domain module is comprised of all the forms, business rules, filing flows, correspondence templates, automated database update and notice jobs, and search tools that are specific to a functional business domain. The domain modules are customizable for each State's specific statutes.

For the proposed Cenuity solution the Cenuity Core will be deployed with domain modules listed below. Each module will contain its own set of output templates, search screens, filing flows, automated database update jobs, notification jobs, and set of filing and document types.

- Trademark Registry
- Notary Public Registry and Authentications
- FOIA Public Records Request Registry

- Licensing Registry
  - Charitable Organizations Registry
  - Marriage Celebrants
  - Scrap Metal Dealers
  - Private Investigators and Security Guards

The following sections describe our existing module functionality and rules currently present within Cenuity. PCC has performed a gap analysis as part of this RFQ submission process and will conduct validation with the WVSOS during the project implementation to ensure anticipated data input fields and business rules comply with West Virginia's statutory obligations. Where there is no existing feature currently available in Cenuity, PCC has described the modifications which will be made in order meet the requirements of this RFQ.

**Internal and External Features and Processes**

The following internal and external processes are used within each Cenuity domain module.

**External Portal Features and Process**

- External customers will have the ability to submit the filing request and make payments online through a secure third-party payment portal.
  - Payments made by external customers will be associated and reconciled to the filing submission and filing account in a rational and audited manner.
  - Cenuity will offer the ability to reconcile and report on online payments as either distinct from internal payments or integrated in solution wide summaries.
- Correspondence and document images generated as a result of an acceptance of an online submission will be available to the external customer in perpetuity to view, download and print via their online Cenuity Dashboard. This includes payment receipts, copy requests and filing acceptances and filing rejections. Each external customer will see only their own submitted and paid filings on their dashboard.
- Correspondence and document images generated as a result of an acceptance of an online submission will be available for search and recall via Cenuity's internal staff search tools. The internal user will be able to search such filings or filing transactions, view the data records generated, and view, download or print the document. This includes payment receipts, copy requests and filing acceptances and filing rejections.
- The online portal will provide search screens where unauthenticated public users can search the filings in this registry. Only data fields defined by the state as publicly disclosed will be displayed, and only documents defined by the State as publicly disclosed will be available for free view, print and download. The public will be provided with a robust set of search criteria, refinement criteria and sorting criteria and an option to export the results as a .csv file.
- Cenuity will determine, according to State business rules, which external filing submissions can be accepted and inserted into the public record immediately and which external filing submissions need to be routed to an internal work queue for staff review.
- Cenuity will send out notices at appropriate process points when updates are made to their filing submission, e.g. upon initial submission, upon final acceptance, upon final rejection.

**Internal Portal Features and Process**

- Internal staff will have the ability to receipt payment for and process physically submitted requests. The Core system will allow documents to be either scanned or uploaded and associated to each individual request as well as to the larger work packet received.

- Correspondence and document images generated as a result of an acceptance of an internally received and processed filing submission will be available for search and recall via Cenuity's internal search tools. The internal user will be able to search such filings or filing transactions, view the data records generated, and view, download or print the document. This includes file-stamped document images, payment receipts, copy requests and filing acceptances and filing rejections.
- Cenuity will determine, according to State business rules, which external filing submissions can be accepted and inserted into the public record immediately and which external filing submissions need to be routed to an internal work queue for staff review. Staff will pull filing submissions from the review queue in the same work flow routing and sorting process as internally received filing submissions. Instead of performing data entry, the internal staff user will review the external customer's entries, review any customer uploaded document images, and make a decision as to whether to accept or reject.
- Cenuity's internal staff portal will allow staff and administrators to run various reports necessary for the daily operations of the department, including financial reconciliation and staff production reports.

### 5.1.1 Marriage Celebrants (Minister registry)

**1.1 Marriage Celebrants (Minister Registry):** 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 on1ine. The system will associate 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.

Within the Licensing Registry module, PCC will modify Cenuity's existing Marriage License filing functions to meet the statutory requirements of the State and provide a registry of those authorized by law to perform or celebrate a marriage in West Virginia.

- Cenuity will offer processing flows configured to process the following forms/form processes:
  - o Registration to Perform Marriages
  - o Registration of Charitable Organization – Renewal
- The filing flows will be integrated into the Cenuity Core solution as options for receipting in the Work Order Creation screen as filing flows which will be processed when a filing is selected from a work queue.
- The filing flows will be integrated into the Cenuity Core solution as filing submission flow options available in the Online Cenuity Dashboard.
- For detailed information of portal features and processes, please refer to Section 5.1.1 Internal and External Portal Features and Processes above.
- Cenuity will offer up to three notices that can be periodically sent out to customers based on business rules. Additional notice templates will require additional cost.

### 5.1.2 Notaries Public

**1.2 Notaries Public:** 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.

Within the Notary Public Registry & Authentications module, PCC will modify Cenuity's existing notary public filing and tracking functions to meet the statutory requirements of the State and provide a registry of those authorized by law to perform notarization duties in West Virginia.

- Cenuity will offer processing flows configured to process the following forms/form processes:
    o Initial Registration
    o Renewal
    o Application for E-Notarization Authorization
    o Name and/or Address Change
    o Notary Public Resignation
    o Lost or Stolen Seal
    o Oath Update
- The filing flows will be integrated into the Cenuity Core solution as options for receipting in the Work Order Creation screen as filing flows which will be processed when a filing is selected from a work queue.
- Where appropriate the filing flows will be integrated into the Cenuity Core solution as filing submission flow options available in the Online Cenuity Dashboard.
- For detailed information of portal features and processes, please refer to Section 5.1 Internal and External Portal Features and Processes above.
- The base Cenuity Solution does not support integrated exam publishing features, which suits clients who use external services to provide notary exams. However, Cenuity can be enhanced to allow for the configuration and deployment of one or more exams to the public portal. The content of the multi-choice exam would be configurable by staff administrators. The ability to maintain and deploy exams can be included at additional cost per distinct exam that needs to be published and maintained (i.e. if a separate exam is required for eNotarization applicants).
- The base Cenuity solution allows for the tracking of a single set of continuing education requirements for a given notary record. If more distinct sets of requirements are required (such as distinct for eNotary) they can be implemented as a change request.
- Automatic email reminders will be maintained as needed for traditional notary renewal reminders, eNotary renewal reminders, and continuing education renewal reminders.

Cenuity's Notary Public Registry & Authentications module allows for the registration of a new Notary Public Commission and all subsequent actions upon the Commission Record. The system records the applicant's name, address, employer address if an out-of-State applicant, and related bond information. A Notary Commission record is created, and the notary is provided a unique Commission Number. Cenuity generates the required certificates and correspondence.

Automatic system jobs will scan the database daily and email renewal reminders to Notaries at the beginning of the renewal period as well as update the Commission Status from active to expired when Commission Expiration dates pass without a renewal being filed.

Additional amendment filings allow customers to update their Notary record. The system will generate and print additional certificates with updated information.

For externally submitted notary filings, Cenuity utilizes a "Print and Submit" methodology, where upon electronic submission the system will generate a pdf of the of the form which is populated with the customer's submitted data and contains a barcode that is unique to that submission. The customer will sign/notarize/stamp the form and send in the physical copy. Staff will scan the form into Cenuity which will associate the image to the electronic submission and complete the form filing process.

### 5.1.3    Athletic Agents

**1.3 Athletic Agents:** 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.

Within the Licensing Registry module, PCC will modify Cenuity's existing Athlete Agents filing functions to meet the statutory requirements of the State and provide a registry of those authorized by law to conduct business as an athletic agent in West Virginia.

- Cenuity will offer processing flows configured to process the following forms/form processes:
  - o  Athlete Agent Initial Registration
  - o  Athlete Agent Renewal
  - o  Oath Update
- The filing flows will be integrated into the Cenuity Core solution as options for receipting in the Work Order Creation screen, as filing flows which will be processed when a filing is selected from a work queue, and as filing submission flow options available in the Online Cenuity Dashboard.
- For detailed information of portal features and processes, please refer to Section 5.1 Internal and External Portal Features and Processes above.
- For externally submitted filings, Cenuity utilizes a "Print and Submit" methodology, where upon electronic submission the system will generate a pdf of the of the form which is populated with the customer's submitted data and contains a barcode that is unique to that submission. The customer will sign/notarize/stamp the form and send in the physical copy. Staff will scan the form into Cenuity which will associate the image to the electronic submission and complete the form filing process.

### 5.1.4     Private Investigators and Security Guards

**1.4 Private Investigators and Security Guards:** 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.

Within the Licensing Registry module, PCC will create a set of Private Investigators and Security Guards filing functions to meet the statutory requirements of the State and provide a registry of those authorized by law to perform such services as a professional trade in West Virginia.

- Cenuity will offer processing flows configured to process the following forms/form processes:
    o Individual Initial Application
    o Firm Initial Application
    o Individual Renewal Application
    o Firm Renewal Application
    o Oath Update
- Cenuity will offer additional internal filing flows to allow for updates to the record for background checks and fingerprint updates.
    o Background Check Update
    o Fingerprint Verification Update
- The filing flows will be integrated into the Cenuity Core solution as options for receipting in the Work Order Creation screen as filing flows which will be processed when a filing is selected from a work queue.
- The filing flows will be integrated into the Cenuity Core solution as filing submission flow options available in the Online Cenuity Dashboard.
- For detailed information of portal features and processes, please refer to Section 5.1 Internal and External Portal Features and Processes.
- For externally submitted filings, Cenuity utilizes a "Print and Submit" methodology, where upon electronic submission the system will generate a pdf of the of the form which is populated with the customer's submitted data and contains a barcode that is unique to that submission. The customer will sign/notarize/stamp the form and send in the physical copy. Staff will scan the form into Cenuity which will associate the image to the electronic submission and complete the form filing process.

## 5.1.5    Trademarks and Service Marks

**1.5 Trademarks and Service Marks:** 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.

Within the Trademark module, PCC will modify Cenuity's existing Trademark filing functions to meet the statutory requirements of the State and provide a registry of trademarks recognized by the State of West Virginia.

- Cenuity will offer processing flows configured to process the following forms/form processes:
  - Registration
  - Renewal
  - Assignment
  - Cancellation
  - Verification of Online Submission
- Cenuity will offer registration, renewal, assignment and cancellation filing options to both external customers and in-house staff users.
- The filing flows will be integrated into the Cenuity Core solution as options for receipting in the Work Order Creation screen, as filing flows which will be processed when a filing is selected from a work queue, and as filing submission flow options available in the Online Cenuity Dashboard.
- For detailed information of portal features and processes, please refer to Section 5.1 Internal and External Portal Features and Processes above.
- For externally submitted filings, Cenuity utilizes a "Print and Submit" methodology, where upon electronic submission the system will generate a pdf of the of the form which is populated with the customer's submitted data and contains a barcode that is unique to that submission. The customer will sign/notarize/stamp the form and send in the physical copy. Staff will scan the form into Cenuity which will associate the image to the electronic submission and complete the form filing process.

PCC's Trademarks Module provides the ability to process the entire lifecycle of Trademarks and Service Marks from initial registration through assignment, name changes, renewals to final disposition by means of cancellation or automated expiration.

**Processing Mark Filings – Paper Processing**

Initially, filings and requests are entered in the system as part of work orders with the filing images scanned. After this receipting process, the system provides for efficient detailed entry by guiding state users through validation and data entry of required mark information. Mark specimens can be scanned and saved to the system or alternately uploaded if digital files are provided for the specimens. The system ensures that all valid information regarding the mark description, initial usage, classifications, owner information, notarization, and specimen images are recorded or acknowledged to be present by the processor. Validations are provided at each step of entry with all information presented on a final summary review page. On the summary page the

users can quickly see all relevant information entered for the mark and can quickly navigate to make any updates. All updates are processed against business rules ensuring that the updates are still in compliance with filing requirements. Finally, all validations are performed at final submission before the mark is ultimately approved and added to the system as an official mark of record. Upon final acceptance or rejection of a mark, the system will automatically produce the configured correspondence including but not limited to required certificates, acknowledgement letters, stamped filed copies of the filing, and financial receipts.

**Mark Repository Searches**

Once the mark registration and subsequent filing information are saved to the system, the marks can be searched in Cenuity online. The mark search functionality can be made available to the public, available to state staff members or to both audiences. The ability to search existing records includes the ability to search by all attributes of the mark recorded as part of the filing process.

**Mark Maintenance – Automated System Functionality**

Cenuity automatically handles mark expirations based on configurable mark expiration timeframes. Automated System jobs update the records as well as generate correspondence or alternatively send notifications to parties via email. In addition to the expiration process mark renewal reminder notifications are generated by the system to notify mark owners of upcoming expirations for marks that they own.

**Online Filing Processing**

Subject to state rules and regulations Cenuity offers the ability to submit mark filings and associated payments online. In the event that the state can accept copies of notarized documents, all aspects of the mark registration process can be entered by the filing party online. Cenuity guides the filers through a step-by-step process preventing the user from proceeding without requisite information. The filers can upload trademark specimens online saving considerable time of entry by state processors. In the event that marks require original notarized documents, Cenuity provides the ability for filers to enter all mark and payment information online and send the original notarized document to the state for review and final approval.

No matter the exact process, Cenuity's online mark filing capabilities can be leveraged to significantly reduce staff time and related costs associated with the receipting and data entry involved in the processing of paper mark submissions. Cenuity's proven mark functionality also provides customers the ability to make online requests for mark filing plain and certified copies, further improving the efficiency and speed of fulfillment for overall mark request processing.

## 5.1.6    Scrap Metal Dealers

**1.6 Scrap Metal Dealers:** 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.

Within the Licensing Registry module, PCC will create filing flows to create a set of Scrap Dealers filing functions to meet the statutory requirements of the State and provide a registry of those authorized by law to perform such services as a professional trade in West Virginia.

- Cenuity will offer processing flows configured to process the following forms/form processes:
    - Scrap Metal Dealers Registration
    - Scrap Metal Dealers Amendment
- Cenuity will offer initial a registration option to both external customers and in-house staff users.
- The filing flows will be integrated into the Cenuity Core solution as options for receipting in the Work Order Creation screen as filing flows which will be processed when a filing is selected from a work queue.
- The filing flows will be integrated into the Cenuity Core solution as filing submission flow options available in the Online Cenuity Dashboard.
- For detailed information of portal features and processes, please refer to Section 5.1 Internal and External Portal Features and Processes.
- For externally submitted filings, Cenuity utilizes a "Print and Submit" methodology, where upon electronic submission the system will generate a pdf of the of the form which is populated with the customer's submitted data and contains a barcode that is unique to that submission. The customer will sign/notarize/stamp the form and send in the physical copy. Staff will scan the form into Cenuity which will associate the image to the electronic submission and complete the form filing process.

## 5.1.7    Charitable Organizations

**1.7 Charitable Organizations:** 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.

Within the Licensing Registry module, PCC will modify existing licensing filing flows to create a set of Charitable Organization filing functions to meet the statutory requirements of the State and provide a registry of charitable organizations recognized by West Virginia.

- Cenuity will offer processing flows configured to process the following forms/form processes:
    - Registration of Charitable Organization
    - Registration of Charitable Organization – Renewal
    - Registration of Charitable Organization - Final
    - Registration of Professional Solicitor or Fund-Raising Counsel - Registration
    - Registration of Professional Solicitor or Fund-Raising Counsel - Renewal
    - Computation of Fund-Raising Percentage Form
    - Unified Registration Statement Supplement
- The filing flows will be integrated into the Cenuity Core solution as options for receipting in the Work Order Creation screen as filing flows which will be processed when a filing is selected from a work queue.

- The filing flows will be integrated into the Cenuity Core solution as filing submission flow options available in the Online Cenuity Dashboard.

- For detailed information of portal features and processes, please refer to Section 5.1 Internal and External Portal Features and Processes.
- For externally submitted filings, Cenuity utilizes a "Print and Submit" methodology, where upon electronic submission the system will generate a pdf of the of the form which is populated with the customer's submitted data and contains a barcode that is unique to that submission. The customer will sign/notarize/stamp the form and send in the physical copy. Staff will scan the form into Cenuity which will associate the image to the electronic submission and complete the form filing process.

### 5.1.8    Apostilles

**1.8 Apostilles:** 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.

Within the Notary Public Registry & Authentications module, PCC will modify Cenuity's existing apostille and certification filing and tracking functions to meet the statutory requirements of the State and provide a registry of authentications issued by the filing office.

- Cenuity will offer apostille and non-Hague certification filing options to both external customers and in-house staff users.
- The filing flows will be integrated into the Cenuity Core solution as options for receipting in the Work Order Creation screen as filing flows which will be processed when a filing is selected from a work queue.
- The filing flows will be integrated into the Cenuity Core solution as filing submission flow options available in the Online Cenuity Dashboard if allowed by State Statues and processes. Otherwise apostilles and authentication submission requests can be limited to physical submission process only.
- For detailed information of portal features and processes, please refer to Section 5.1 Internal and External Portal Features and Processes above.
- For externally submitted filings, Cenuity utilizes a "Print and Submit" methodology, where upon electronic submission the system will generate a pdf of the of the form which is populated with the customer's submitted data and contains a barcode that is unique to that submission. The customer will sign/notarize/stamp the form and send in the physical copy. Staff will scan the form into Cenuity which will associate the image to the electronic submission and complete the form filing process.

### 5.1.9    Public Records Request (FOIA Database)

**1.9 Public Records Request (FOIA Database):** 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.

Within the Licensing Registry module, PCC will create a set of Public Records Request functions to meet the statutory requirements of the State and provide a registry of requests made under the Freedom of Information Act to various State agencies.

- Cenuity will offer the following process flows:
    - FOIA Database Access Request
    - New FOIA Request Submission
- Cenuity will offer the following features:
    - Manage FOIA Requests (Add/Edit)
        - For authorized external agency users and in-house staff.
    - Allows external agency staff to create a FOIA Request Entry according to the State's requirements.
    - FOIA Request Record search
        - For public, staff, and other agency staff.
- The filing flows will be integrated into the Cenuity Core solution as options for receipting in the Work Order Creation screen as filing flows which will be processed when a filing is selected from a work queue.
- The filing flows will be integrated into the Cenuity Core solution as filing submission flow options available in the Online Cenuity Dashboard.
- The Manage FOIA Requests will not be enabled by default for external customers. Access to this  feature will be controlled on a user by user basis by filing a "FOIA Database Access Request" form. Once internal staff approve the request Cenuity will designate the submitter as an FOIA Agency User and grant them access to make submissions to the FOIA database.
- Internal staff with sufficient privileges will have access to the Manage FOIA Requests.
- For detailed information of portal features and processes, please refer to Section 5.1 Internal and External Portal Features and Processes.

# 5.2    Definitions

PCC has reviewed and understands the definitions provided by the State in Specifications, Section 2. Definitions, for this RFQ.

# 5.3    Minimum Qualifications

**3. Qualifications:** Vendor, or Vendor's staff if requirements are inherently limited to individuals rather than corporate entities, shall have the following minimum qualifications:

PCC's core mission is focused on work with the Secretary of State community. We are involved sponsors of the National Association of Secretaries of State (NASS), the International Association of Commercial Administrators (IACA) and the Council on Governmental Ethics Laws (COGEL). This experience allows us to provide the right combination of technology, people, and process to best meet the needs of our customers. This gives our clients the satisfaction that they will receive topical and timely advice from experts who follow the industry trends and shape our software systems to address them. As part of the GCR family, PCC's State Government solutions division contributed heavily to both the 2018 and 2019 awards as a GovTech top 100 company.

**GCR Inc.**

In both 2019 and 2018, GCR was included in the "**GovTech 100**" list of companies making a difference in State and Local Government.

http://www.govtech.com/100/

**GovTech 100 Company 2019**

PCC is committed to using industry best practices, hiring trained staff and aligning our project approaches to a client's environment. PCC is focused on the business of State Government, providing solutions for business registration, voter registration, election administration, and ethics and disclosure, in addition to custom solutions and staff augmentation projects.

## 5.3.1    Successfully Deployed 2 Business Services Registration Systems

**3.1.** Has successfully deployed a business services registration system for at least two (2) of the 50 US states or its territories at the level of the Secretary of State or its equivalent and the system that is hosted by the vendor or a third party ("cloud").

PCC is the market leader in US implementations of business registry software such as that proposed for the State of West Virginia. PCC implemented its first solution in 2003 for the State of Connecticut and has since been awarded 17 additional business registry contracts. While architecture and third-party tools may have evolved over the years to stay current and relevant, the mission of PCC to help business registries better serve their constituents has stayed consistent over the past 16 years. Currently we are in the final stages of implementing two large systems, one in Nevada (the second-highest volume business entity filing state in the country), and the second in Virginia, which also boasts an impressive share of the U.S. business registry volume. The table below shows our national presence in implementing business service and registration systems. We continue to support all of our clients that are in production.

| CLIENTS | UCC & LIENS | BUSINESS REGISTRATIONS | NOTARIES & AUTHENTICATION | TRADEMARK | BUSINESS ONE-STOP |
|---|---|---|---|---|---|
| Arizona | | ▶ | | | |
| Arkansas | | | ▶ | | |
| Connecticut | ▶ | ▶ | ▶ | ▶ | ▶ |
| Florida | ▶ | ▶ | ▶ | ▶ | |
| Georgia | | ▶ | | ▶ | |
| Indiana | ▶ | ▶ | | ▶ | ▶ |
| Louisiana | ▶ | ▶ | ▶ | ▶ | ▶ |
| Michigan | ▶ | | | | |
| Nebraska | ▶ | ▶ | ▶ | ▶ | |
| Nevada | ▶ | ▶ | ▶ | ▶ | |
| New Hampshire | ▶ | ▶ | ▶ | ▶ | |
| New Mexico | ▶ | ▶ | ▶ | ▶ | ▶ |
| New York | | ▶ | | | |
| North Dakota | ▶ | | | | |
| Utah | ▶ | | | | |
| Vermont | ▶ | ▶ | | ▶ | ▶ |
| Virginia | ▶ | ▶ | | | |
| Washington | | ▶ | | ▶ | |
| Wisconsin | ▶ | | | ▶ | |

**KEY**

▶ = IN PRODUCTION
▶ = IN PROGRESS / NEXT PHASE

*Figure 2.* **PCC is the leading provider of Business Service software**. *PCC is proud of our 18 U.S. Business Services Clients that are either in production and maintenance or currently being implemented.*

Of the eighteen business service solutions clients that PCC has, we host three of these solutions (the States of Vermont, Connecticut, and Georgia) in cloud or PCC-provided colocation facilities. The remaining systems are client hosted simply due to preferences and statutory restrictions of the States.

| Client | Date | Hosting Environment |
|---|---|---|
| State of Connecticut | Go-Live 2003, major upgrade in 2016 | BEST (Third-Party Agency) |
| State of Vermont | Go-Live 2014 | AWS (Cloud) |
| State of Georgia | Go-Live 2015 | Zayo (Cloud) |

Additionally, PCC cloud-hosts several of its 17 Voter Registration and Election Management systems for Secretaries of State throughout the country. This gives us additional experience managing cybersecurity in cloud-hosted environments.

## 5.3.2    Maintained the System for 5 years

**3.2.** The vendor has maintained the fully implemented (ie: post Go-Live) back office and public facing system referenced in 3.1 for a minimum of 5 years.

PCC has implemented and maintained business services solutions for over 16 years with both back office and public facing components. PCC continues to maintain all sixteen of our client's business services system regardless of hosting environment. Of the vendor or cloud hosted implementations required in 5.3.1, two of those implementations (Connecticut and Vermont) have been maintained by PCC for over five years, and the third (Georgia) is in its fifth year of maintenance.

Our oldest business service client is the State of Connecticut with their Connecticut Online Commercial Recording Database (CONCORD). First implemented in 2003, this turn-key system has been continually updated to adhere to the latest application and database technology standards.

Our Vermont BizPortal, an interagency system with disparate sets of business rules and agency-specific functionality in Vermont, went live in 2013 and we continue to maintain that solution for the State. In 2014, the State of Vermont was a Merit Award Winner for its "Transition to Paperless Office" submission at IACA.

PCC implemented our Business Services and Filing Registration System in just eight months for the State of Georgia in 2015 and continues to maintain Georgia eCorp.

## 5.3.3    Total Annual Receipts Greater than $5M

**3.3.** The total annual receipts collected by the system(s) referenced in 3,1 were greater than or equal to US $5,000,000 in aggregate during at least four of the five or more years in which the vendor maintained the fully implemented system.

PCC has provided annual receipts for each of the projects referenced in 3.1, all of which were greater than the $5M requirement annually for more than four years.

| Connecticut | | Vermont | | Georgia | |
|---|---|---|---|---|---|
| **Year** | **Total Revenue** | **Year** | **Total Revenue** | **Year** | **Total Revenue** |
| 2010 | $27,073,842.64 | 2010 | n/a | 2010 | n/a |
| 2011 | $27,060,343.94 | 2011 | n/a | 2011 | n/a |
| 2012 | $26,469,959.82 | 2012 | n/a | 2012 | n/a |
| 2013 | $28,113,734.77 | 2013 | $2,487,260.00 | 2013 | n/a |
| 2014 | $27,577,247.96 | 2014 | $4,400,524.00 | 2014 | n/a |
| 2015 | $26,084,436.21 | 2015 | $5,888,094.00 | 2015 | $14,665,265.67 |
| 2016 | $30,568,571.28 | 2016 | $6,662,173.00 | 2016 | $7,560,119,161.88 |
| 2017 | $30,128,213.74 | 2017 | $6,584,221.00 | 2017 | $63,154,242.38 |
| 2018 | $33,067,289.28 | 2018 | $6,777,117.00 | 2018 | $68,278,561.23 |
| 2019* | $20,365,463.64 | 2019* | $5,503,852.00 | 2019* | $56,368,438.90 |

*2019 Year to Date.

### 5.3.4    Configurability of COTS to Meet State Regulations

**3.4.** *Can configure their COTS system to meet the laws, rules, regulations, administrative codes, and processing requirements of the state of West Virginia.*

Since each state is unique, this has been a key requirement for each of the 18 clients we call partners. To provide compliance in a minimal amount of time, our product uses a highly flexible .Net and database-driven architecture. During Gap Validation sessions, our experts lead exercises with WV staff to identify and document the distinctions in West Virginia's laws compared to the pre-configured system business rules. Our experienced development team uses configuration tools and proven development techniques to ensure processes, rules and compliance checks are in line with the State's requirements upon Go-live.

At a product level, PCC categorizes configurability within Cenuity into two categories, administrator configurability and developer configurability.

- **Administrator Configurability** – Allows end-users with sufficient privileges to make configuration changes within the application itself, directly through the internal staff portal's browser GUI (Graphical User Interface).
- **Developer Configurability** – Allows developers or Data Base Administrators (DBA's) to make configuration changes within the database or in application configuration files.

West Virginia has experience with PCC adapting its systems to West Virginia laws, rules, regulations, administrative codes, and processing requirements. West Virginia's laws are quite prescriptive with regard to elections, voter registration, and campaign finance. PCC has successfully adapted its ElectioNet systems to meet those conventions. With that experience, PCC has also shown its ability to operate with West Virginia's and the Secretary of State's IT conventions and staff.

### 5.3.5    Business Service Implementations

**3.5.** Has implemented a business services registration system, for the clients referenced in 3.1 or elsewhere, to include the following business services (some which are not currently listed within the scope of this RFQ):

| | |
|---|---|
| 3.5.1 | Private Investigators and/or Security Guards |
| 3.5.2 | Trademarks |
| 3.5.3 | Corporations |
| 3.5.4 | UCC - Uniform Commercial Code |
| 3.5.5 | Notary Public |
| 3.5.6 | Apostilles |
| 3.5.7 | Charities and Charities Solicitors |

Eighteen states have chosen PCC's Cenuity product for their business filing and registry solution. For all projects, PCC provided project management, requirements gathering, development and configuration, testing, and training. We continue to provide maintenance and support for each of these clients. The table below shows a breakdown of business services implementations provided by PCC that meet the scope areas in 3.5.

| Additional Scope Item | PCC Experience |
|---|---|
| Private Investigators and/or Security Guards (also known as Miscellaneous Filing) | 3 implementations |
| Trademarks | 12 implementations |
| Corporations (also known as Business Registration) | 14 implementations |
| UCC | 14 implementations |
| Notary Public & Apostilles | 8 implementations |
| Charities and Charities Solicitors | 2 implementations |

## 5.3.6     Experience Documentation

**3.6** Those bidding on this RFQ must provide documentation on items listed in 3.1 through 3.5 with their bid submittal.

If the documentation currently provided in proposal sections 5.3.1 to 5.3.5 (RFP Questions 3.1 -3.5) does not suffice as evidence of PCC's compliant experience, we can provide any further specific documentation as requested by the Agency during negotiations. Due to the highly publicly-disclosable nature of this RFQ response, we have purposely limited the inclusion of contracts or other private reference information at this time.

## 5.3.7     Ability to Meet Funding and Maintenance Requirements

**3.7** The vendor must be capable to implement a system that is:

3.7.1     Funded by the Agency in increments while under development and deployment until full cost of the development of the product due upon successful launch.

3.7.2     Contracted with the Agency with a maintenance agreement for one year with the possibility of two one year renewals

PCC has the financial resources to undertake significant assignments without risk or financial strain. We have proven our ability to deliver large implementations funded incrementally. In addition, PCC continues to maintain all of our business service systems, some exceeding 15 years, and can easily fulfill a one- to three-year maintenance contract.

# 5.4    Mandatory Requirements

**4.1 Mandatory Contract Services Requirements and Deliverables:** Contract Services must meet or exceed the mandatory requirements listed below

PCC has provided how we can meet or exceed the mandatory contract services requirements and deliverables in the tables below.

## 5.4.1    Creating Licensing or Registry

| # | 4.1.1 Creating Licensing or Registry | PCC Response |
|---|---|---|
| 4.1.1.1 | Provide external users with online filing options available 24/7/365 for various types of licensing/registry area and structure (e.g. Charities, Apostilles, Scrap Metal Dealers) | The Cenuity's online Dashboard will provide the authorized external user with a convenient list of all available licensing filings actions. Upon selection Cenuity will navigate the user to the first screen in that guided workflow. |
| 4.1.1.2 | 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 | Cenuity's scanning and upload features will allow staff to scan and upload filing images to manually create a license/registration. Cenuity's scanning functionality will easily save documents to an integrated document repository and allows for basic edits during the scanning process. |
| 4.1.1.3 | Ability for internal staff to reject submitted applications/documents | Staff workflow processing of Cenuity provides the ability to reject any submitted applications/documents. As part of the workflow, the staff may reject a filing at submission or in any stage of the process. The flow allows for editable rejection reasons which will be merged into a rejection letter correspondence. All correspondence, including rejections may be viewed in the documents contained within the filing history. |
| 4.1.1.4 | Provide external users with the ability to file/process authentications, licenses, registration and other services | Cenuity's Dashboard will provide users the ability to file/process authentications, licenses, registrations and other services described in this RFQ. The dashboard uses guided process flows that prevent errors and enforces business rules while providing an easy-to-use end-to-end guided experience for the user. |
| 4.1.1.5 | Provide external users the ability to file modifications online | Cenuity will allow users to file modifications, subsequent filings, and amendatory filings as appropriate to the filing type, existing forms by the State and defined by business rules. |

## 5.4.2    Modifying Licensing or Registry

| # | 4.1.2 Modifying Licensing or Registry | PCC Response |
|---|---|---|
| 4.1.2.1 | Ability for external user to manage/change information | Cenuity's Dashboard will allow users external to the system to easily locate and manage/change information. The dashboard uses a guided workflow that allows the user to review and amend previously submitted filing information. Account related information and |

| # | 4.1.2 Modifying Licensing or Registry | PCC Response |
|---|---|---|
| | | preference settings will also be modified by provided tools on the external user's dashboard. |
| 4.1.2.2 | Ability for external user to submit a request to renew, reinstate or withdraw an application | The Cenuity Dashboard will provide external users the ability to file subsequent filings as appropriate to the entity type and business rules. |
| 4.1.2.3 | Ability to request a certificate of status or additional copies of a certificate of status | The Cenuity Dashboard and staff workflow will provide the ability to easily request a certificate of status or additional copies of a certificate of status for the filing types and forms described in this document as appropriate per State business rules. Cenuity will provide an intuitive tool that allows the user to search and locate a specific record and then request, purchase, and download a certificate of status for that record. All certificates will contain unique ID's for verification by receiving parties, which will also be provided on the online portal. |
| 4.1.2.4 | Ability to request and obtain a certified copy of a filed document | The Cenuity Dashboard and staff workflow provide the ability to search, locate and view a record and then request a certified copy of the filed document, render payment for the request, and obtain a certified copy of a filed document. Cenuity will (assuming it is allowed by the State) generate a copy and certification page and deliver to the external user's Cenuity Dashboard in-box. |
| 4.1.2.5 | Ability to upload attachments with online filings | Cenuity's Online filing workflow will provide the ability to upload attachments with online filings. The online workflows will be customized to State business rules to provide this feature only for appropriate file types. |

## 5.4.3    Fiscal Processing

| # | 4.1.3 Fiscal Processing | PCC Response |
|---|---|---|
| 4.1.3.1 | Ability to accept both card present and card not present payments. | Cenuity will support both card present and card not present transactions. <br><br> For card not present transactions initiated by public customers on the public portal: <br><br> • Cenuity will navigate customers to a secure payment gateway page to enter payment information, after which the customer will be redirected back to Cenuity to receive receipt and other transaction outputs (assuming gateway reports payment is successful). <br><br> For card present transactions made by staff and customers from the internal portal: |

- Cenuity will interface with the card reader of an existing POS system.
  - Cenuity will trigger the card reader action, and listen for a response.
  - Cenuity will receive non-PCI sensitive data from the card reader such as transaction number, authorization number, transaction status, last four digits of card, and amount charged. Cenuity will associate this data to the payment record.
  - In the event of card reader failure, the user can be allowed to perform direct entry, but any direct entry of credit card information will be made after Cenuity has performed a redirect to a secure Payment Gateway page. After payment information is entered on the Payment Gateway page, the user will be redirected back to Cenuity and the Payment Gateway will supply relevant tokens, unique authentication number and last four digits of card number as necessary.
- The following assumptions apply to card present transactions and the interface with the POS card reader:
  - It is assumed that the POS Card Reader does not directly connect to a computer running Cenuity, but rather connects to a network via either net or similar, and can maintain its own secure, PCI compliant connection to the POS system and gateway in addition to communicating with Cenuity.
  - The proposed solution does not include implementation of any POS system or assume any ongoing fees incurred for such a service, nor any hardware necessary to support it such as card readers.
  - Cenuity will not consume or store any credit card information within the application.
  - Cenuity will not handle any duplicate posts or errors from the POS system, which will be handled outside of our application.
  - If the listener is not receiving a response for the posted transaction from POS system, the refunds for the transactions will be handled manually and the transaction within the work order should be voided manually.
  - A daily POS summary report will be created for all transactions that are successfully processed from the

| | | POS system and a response is received in the Cenuity application. |
|---|---|---|
| 4.1.3.2 | Ability to associate a payment to an entity for online and manual filings | Cenuity will associate payments to an entity as part of the creation process of the Work Order record, and this will occur automatically as part of the data relation design. The Work Order is associated to a Customer, AKA filing submitter, which can be the entity or a representative thereof. The work order will also be associated to one or more filing transactions which were processed for that Work Order. Each filing will then be associated to an entity or central filing record. This structure holds true for online and in-house filings and will allow payments to be tracked against entities and vice versa. |
| 4.1.3.3 | Provide audit tracking for all financial processing associated to an entity | Cenuity will build an audit trail in the background as each fiscal action is taken in regard to payment and funds. Payment receipting, adjustments, refunds, reversals, negative receipts and transfers will all be logged in a line item audit trail associated to each work order and through that to all associated customers and entities. |
| 4.1.3.4 | Ability to search, review and modify payment information associated to an entity | Cenuity will allow users to search for payment records by entity name and other criteria (such as payment specific criteria). Within the Payment Search tool, Cenuity will display a complete audit trail of a given payment or payments. Cenuity also provides several tools to modify payments in a controlled and audited process: Payment Void, Payment Correction, Refund Request and Funds Transfer. |
| 4.1.3.5 | The system must allow payment card refunds after the original transaction | Cenuity offers a refund feature where internal users can request a refund and indicate the refund type, including credit card. Supervisors approve or deny the requests and the system will apply business rules and actions as appropriate. |
| 4.1.3.6 | The system must allow refunds to payment cards when that payment card number was used for the original payment | Cenuity will validate that refunds are to the original card assuming that tokenized card identifiers are available to Cenuity from payment gateway. |
| 4.1.3.7 | Ability to reconcile payments received | Cenuity provides financial reconciliation reports to compare and reconcile internally receipted and electronically submitted payments. |

## 5.4.4    Scanning/Imaging Paper Documents

| # | 4.1.4 Scanning/Imaging Paper Documents | PCC Response |
|---|---|---|
| 4.1.4.1 | Ability to upload documents which were scanned outside of the system, and associate them to an entity | Cenuity will provide staff various methods of uploading documents to associate to an entity. Both the staff internal filing creation workflow and the administrative correction functions will provide the ability to upload documents scanned outside the system. This will allow |

| | | association of the documents to either a new filing or a previously submitted filing. |
|---|---|---|

## 5.4.5    Correspondence

| # | 4.1.5 Correspondence | PCC Response |
|---|---|---|
| 4.1.5.1 | Ability to generate and access specific correspondence templates | Cenuity will allow for the generation of and access to specific correspondence templates. PCC will work with the State to gather state-specific requirements and create form templates for correspondence and certificates. Each template will be associated to one or more filing type and the system will generate documents from the correspondence templates based on business rules as appropriate for filing type and actions within the system. |
| 4.1.5.2 | Ability to generate correspondence utilizing approved template | The templates will be auto-filled based on business rules specific to the given template type and contain the signature of the appropriate certifying party (usually the Secretary of State). Cenuity will enforce business rules so that only the pre-configured, pre-approved form of correspondence will be generated for each filing type or filing action. |
| 4.1.5.3 | Ability to generate and send a single correspondence and generate and send mass correspondence to specific users (both internal and external) | Cenuity will allow for the generation and sending of a single correspondence and generate and send mass correspondence to specific users (both internal and external). Single external user correspondence will be generated according to business rules and templates upon specific triggers such as filing acceptance, rejection, etc. Cenuity will process mass correspondence batch notifications for upcoming compliance needs or alerts for out-of-compliance entities. These notifications are executed by pre-defined automated system jobs and specific users are included based on the status of the trademark, notary, or other type of record, and business rules regarding conditions when they are expected to file compliance reports or renewals. Cenuity will also allow alerts and notices to be communicated to external users via the online dashboard and internal users via their internal staff dashboard widgets. |
| 4.1.5.4 | Ability to log and retrieve all correspondence sent to users regarding their business entity | All correspondence for the filings performed by external users will be available in the Cenuity online digital mailbox for guaranteed delivery and for retrieval in perpetuity. In addition, the user will also receive a copy of the filing in the email address specified on their account.<br><br>Internal staff will also have access to search and view user correspondence. |

| # | 4.1.5 Correspondence | PCC Response |
|---|---|---|
| 4.1.5.5 | Ability to provide filing acknowledgements by email regardless of submission method | Cenuity will allow for the ability to store email information regardless of submission method. The email will be used to deliver acknowledgements of filings and approval/rejection documentation. |

## 5.4.6    Reporting

| # | 4.1.6 Reporting | PCC Response |
|---|---|---|
| 4.1.6.1 | Ability to design and run ad hoc, batch, monthly and annual reports for all historical and current data held in the system | Cenuity will provide the ability to design, run, save and rerun ad hoc reports in the Ad Hoc Query tool. Batch, monthly and annual reports will be identified and documented during requirements analysis and will be configured in the system prior to go-live. |
| 4.1.6.2 | Ability to log and retrieve all reports generated in the system | Cenuity will log system-generated reports with date/time and user id in an audit table. At-will canned reports and ad hoc queries will be logged with date/time and user ID in the audit table and may be retrieved by re-running the report with the criteria or saved query in the Ad Hoc Query tool. |
| 4.1.6.3 | Create and run specific reports for pertinent staff and functional areas (e.g. fiscal reports, administrative reports etc.) | Cenuity will create and run specific reports for pertinent staff and functional areas as defined during requirements analysis. Some key reports are the Financial Reconciliation Report, which reconciles all deposits and fiscal actions (entry or modifications of funds) for a user, the Filing Summary Reconciliation Report which compiles totals of filing counts and fees by filing type. |
| 4.1.6.4 | Provide a user dashboard to enable staff to access reports based on user access and permissions | Cenuity will consider a user's role when determining which reporting tools are available on the user's dashboard. Privileges to access a given reporting tool can be given or denied to users on a role-based level. |

## 5.4.7    Task Management

| # | 4.1.7 Task Management | PCC Response |
|---|---|---|
| 4.1.7.1 | Provide a dashboard for Administrators to organize and assign work assignments for staff | Cenuity will provide the Work Queue Dashboard to Administrators to organize and assign work assignments for staff. The Work Queue Dashboard will allow privileged users to assign and re-assign specific work items to specific staff. Cenuity will also provide Work Queue Maintenance which will allow administrators to define default organization and work routing. |

| # | 4.1.7 Task Management | PCC Response |
|---|---|---|
| 4.1.7.2 | Ability to create a workflow queue with work assignments based on current functional areas | Cenuity will provide an integrated, configurable work queue routing and processing system. This feature will center around the Work Queue Dashboard, where users and administrators will monitor pending and completed work and pull items from the queue to review, input or otherwise process. PCC will work with stakeholders to design and create a set of user roles based on current functional areas and workflow requirements. Each user role created in the system will have a corresponding work queue.<br><br>For each role work queue an administrator will define the filing types which be routed to that queue and therefore to all users who are assigned that role. Processing users will all access the Work Queue Dashboard but will each see an individualized version configured to their role. PCC will work with the Stakeholders to design and configure within the system tools a set of initial queues and routing rules based on functional areas and workflow requirements. |
| 4.1.7.3 | Ability to assign work assignments to specific staff | Cenuity's Work Queue Dashboard will allow users with sufficient role privileges to assign work to specific staff users. Cenuity will provide assignment buttons on each filing transaction in the work queue and allow the user to select from a list of eligible users as well as a work priority value. Once assigned, the transaction will be visible only to supervisors and the assigned user and no longer be visible to other staff users. On the assigned user's dashboard the assigned transaction will be promoted above other non-assigned, pending transactions. When multiple transactions are assigned to a user, they will be sorted on the dashboard in order of the work priority set by the supervisor. |
| 4.1.7.4 | Ability for staff to manage, sort and route tasks | Cenuity provides the ability to manage, sort and route tasks from the Work Queue Dashboard. Administrators can define the default work routing flow by filing type and user role. Supervisors can view the status of all work within the system and assign work to specific users. All users can search the work queue transactions by entering unique criteria such as Work Order ID or Filer Name or refining the visible transactions by status or filing type, or sort upon one of the columns of the transaction such as received date. |
| 4.1.7.5 | Ability for staff and administrators to modify work assignments during any phase of the workflow lifecycle | Cenuity's in-house portal allows supervisors to control workflow by assigning (or un-assigning) work to users. Filing type and other transaction information can be modified from the Work Order itself, which will update the transaction and its location in the Work Queue. |

## 5.4.8     User Accounts and Permissions

| # | 4.1.8 User Accounts and Permissions | PCC Response |
|---|---|---|
| 4.1.8.1 | Ability to create, update and manage user roles and permissions for both internal and external users | Cenuity's in-house portal will be used by different staff users who are assigned differing duties and responsibilities within the office. While these role permissions are mapped from within the Cenuity system, the authentication requests are validated against the State Active Directory.<br><br>External users will have a separately managed set of permissions that are only modified by Cenuity as determined by filing types and business rules. |
| 4.1.8.2 | Ability to control access to sections of the system according to defined permissions and roles | Features and sections of Cenuity are accessed by clicking on menu items displayed on the internal dashboard. Each user can be assigned to a role and each role is mapped to a selection of menu items in Cenuity. This will allow administrative users to restrict certain roles from having access from certain menu functions and from the associated features and sections of the system. |
| 4.1.8.3 | Ability to differentiate between internal and external users | Internal Cenuity users will access the in-house system from entirely different portal than the public users. This portal has its own URL that is not provided to the public. The in-house portal authenticates users against the agency's Active Directory (AD). This assures first that the user is a validated member of the agency who has sufficient authority to be included in the agency's enterprise credential store. This precludes unauthorized access to the system by users that are not a part of the State AD. Second, if the user is a part of the AD, the system checks its own user table to determine whether this particular user has been added by an administrator. Only upon these successful checks, and a valid password, will the user be granted access to the Cenuity system. |
| 4.1.8.4 | Ability to display access to specific pages and information about business entities and structures to public without a user login | The unauthenticated public user will have access to forms, links, and searches within the system. The user will arrive at the Cenuity homepage from either an internet search or from a link on the SOS website. On the homepage, they will be able to find information related to the service areas that the State wishes to compile and provide to PCC for placement. If the user wishes to perform searches, they will be able access the public search feature. Once the user wishes to perform filings in the system, they will be required to create an account. Since these users do not authenticate into the system, there is no authorization that occurs. They remain a general public user until such time as they decide to create an account. |

### 5.4.9    System Processing

| # | 4.1.9 System Processing | PCC Response |
|---|---|---|
| 4.1.9.1 | Ability to integrate and migrate data from existing systems | PCC will perform data conversion/migration into the new system as a part of the Cenuity implementation. PCC will work with Stakeholders during requirements analysis to identify the eligible sources of data and integrate the appropriate data into the new table structures for user validation prior to Go-Live. |
| 4.1.9.2 | Ability to import data from other data sources (e.g. FTP; code tables etc.) | PCC will perform data conversion/migration into the new system as a part of Cenuity's implementation. During requirements analysis PCC will work with stakeholders to identify the relevant data from the sources listed in the RFQ and import it into the new system prior to go live. Cenuity will also import data from the interfaces developed as described in the RFQ and implemented at go-live. Cenuity is flexible and will allow for additional interfaces to be built if the need is identified in the future. |
| 4.1.9.3 | Ability to download data files from the system | Cenuity will allow external customers to download documents and correspondence directly over the application through https from the customer dashboard. Internal staff will also be able to download documents and correspondence directly to their local machine. Most searches and ad-hoc reports will also be available to export as .csv or .pdf and download to the local machine. |
| 4.1.9.4 | Ability to update system pages and functionality when federal or legislative changes are received (e.g. biennial report filing) | Since each state is unique, this has been a key requirement of each of the 15 successful clients we call partners. To provide compliance in a minimal amount of time, our product uses a highly flexible .Net and database-driven architecture. Cenuity is designed with configurability functionality to allow states to alter the system to accommodate fee changes, and administrative policy changes. When larger system changes are necessary, PCC is a full-service software development firm that can design automated solutions to meet state challenges, and integrate those solutions into the Cenuity platform. Gap Analysis sessions where our experts lead exercises with staff find the distinctions in West Virginia's laws compared to the pre-configured system business rules. |

### 5.4.10    Functional Requirements – Inquiries/Searches

| # | 4.1.10 Inquiries/Searches | PCC Response |
|---|---|---|
| 4.1.10.1 | The system must have the ability for public and admin to search Marriage Celebrant name, address and other details | A user will have the ability to search by Marriage Celebrant name, address and other details collected and stored in the Cenuity database. The robust search will allow the user to search by "exact match", "Begins With" or "Contains" search logic on the search criteria. The search will |

| # | 4.1.10 Inquiries/Searches | PCC Response |
|---|---|---|
| | | also allow for multi-field searches. Cenuity's standard "Entity Search" will be customized to allow for these fields and entity types. |
| 4.1.10.2 | The system must have the ability for public and admin to search for Notaries Public by Name, Notary ID, and Commission Number | A user will have the ability to search for Notaries by Public by Name, Notary ID, and Commission Number and other details as long as they are stored in the Cenuity database. The robust search will allow the user to search by "exact match", "Begins With" or "Contains" search logic on the search criteria. The search will also allow for multi-field searches.<br><br>The Notary Public product will have a distinct search screen and fields. |
| 4.1.10.3 | The system must have the ability for public and admin 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 | A user will have the ability to search for Athletic agents by 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 as long as they are stored in the Cenuity database. The robust search will allow the user to search by "exact match", "Begins With" or "Contains" search logic on the search criteria. The search will also allow for multi-field searches.<br><br>Cenuity's standard "Entity Search" will be customized to allow for these fields and entity types. |
| 4.1.10.4 | The system must 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 | A user will have the ability to search for Private Investigator and/or Security Guard licensee by responsible agent, firm name, City or County of service, and other details collected and stored in the Cenuity database. The robust search will allow the user to search by "exact match", "Begins With" or "Contains" search logic on the search criteria. The search will also allow for multi-field searches.<br><br>Cenuity's standard "Entity Search" will be customized to allow for these fields and entity types. |
| 4.1.10.5 | The system must have the ability to search trademark, service, collective or certification marks by name, registry, ID number and other statutorily required information | A user will have the ability to search for trademark, service, collective or certification marks by name, registry, ID number and other statutorily required information stored in the Cenuity database. The robust search will allow the user to search by exact match, "Begins With" or "Contains" portions of the search criteria. The search will also allow for multi-field searches.<br><br>The Notary Public product will have a distinct search screen and fields. |
| 4.1.10.6 | The system must have the ability to search for Scrap Metal Dealers by Name, Number, City or County of service | A user will have the ability to search for Scrap Metal Dealers by Name, Number, City or County of service information stored in the Cenuity database. The robust search will allow the user to search by "exact match", "Begins With" or "Contains" search logic on the search criteria. The search will also allow for multi-field searches. |

| # | 4.1.10 Inquiries/Searches | PCC Response |
|---|---|---|
| | | Cenuity's standard "Entity Search" will be customized to allow for these fields and entity types. |
| 4.1.10.7 | The system must have the ability to search Charitable Organization and Charitable Solicitor by name, concatenated name, Doing Business As (DBA) name, Last Name of Registered Agent, Registration, zip code, address, effective date, and other details | A user will have the ability to search by 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 as long as they are stored in the Cenuity database. The robust search will allow the user to search by "exact match", "Begins With" or "Contains" search logic on the search criteria. The search will also allow for multi-field searches.<br><br>Cenuity's standard "Entity Search" will be customized to allow for these fields and entity types. |
| 4.1.10.8 | 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 | Cenuity will provide Name Availability Check functionality that searches the database to eliminate duplicate entity names. The Name Availability Check omits business noise words (e.g. "and", "the") to enhance the duplicate check validation. Cenuity will restrict the duplication of any entity that matches with another entity in accordance with statutory laws/rules. |
| 4.1.10.9 | The system will provide ability to conduct name searches that are not case specific | A user will have the ability to conduct name searches that are not case specific. The robust search will allow the user to search by "exact match", "Begins With" or "Contains" search logic on the search criteria. The search will also allow for multi-field searches. |
| 4.1.10.10 | The system must provide ability to inquire by business name, Officers, Registered Agents, Document Number, and other details | A user will have the ability to search by business name, Officers, Registered Agents, Document Number, and other details as long as they are stored in the Cenuity database. The robust search will allow the user to search by "exact match", "Begins With" or "Contains" search logic on the search criteria. The search will also allow for multi-field searches.<br><br>Cenuity's standard "Entity Search" will be customized to allow for these fields and entity types. |
| 4.1.10.11 | 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. | Cenuity will provide Name Availability Check functionality that searches the database to locate duplicate entity names. The Name Availability Check omits business noise words (e.g. "and", "the") to enhance the duplicate check validation. Cenuity will allow searches by names of individuals (e.g. registered agent office and director) per requirements established by the State. |

| # | 4.1.10 Inquiries/Searches | PCC Response |
|---|---|---|
| 4.1.10.12 | The system must provide ability to restrict certain filings from public display as required by law | Cenuity will allow the restriction of public display of records by filing type. PCC will work with the stakeholders to identify which filing types will be available for public view, request and download and which filing types will only be retrievable by internal staff. |
| | | In addition, during the batch scanning process the in-house batch scan tool will allow the staff to restrict specific pages of documents or from public view. The system will create two copies of the document, an original version and a redacted version. |
| | | Also, privileged users may use the Redaction tool to search and recall a filing document and apply "black box" redaction areas to a public version of a document to obscure and obliterate a section of the document which contains non-public information. |
| 4.1.10.13 | Provide to be able to search by Notary ID, Commission Number or Name and display entire the record. | A user will have the ability to search by Notary ID, Commission Number or Name stored in the Cenuity database. The robust search will allow the user to search by "exact match", "Begins With" or "Contains" search logic on the search criteria. The search will also allow for multi-field searches. The search results screen will include all fields from the database that are applicable to the search results. |
| 4.1.10.14 | 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. | Cenuity will allow designated searches to apply customized, pre-determined transformations to entered search criteria. This will include the removal of spaces, definite and indefinite articles, and special characters and searching on both the entered name and parsed/concatenated name. |
| 4.1.10.15 | The search option within the system will allow for "is", "begins with", and "contains" searches | Cenuity's robust search will allow the user to search by "is" (AKA "exact match") or portions of the search criteria, including "begins with" and "contains". The search will also allow for multi-field searches. |

## 5.4.11    Functional Requirements – Licensing and Registry

| # | 4.1.11 Licensing and Registry | PCC Response |
|---|---|---|
| 4.1.11.1 | The system will provide the ability for users to submit new applications, subsequent filing requests, and updates using online forms, mail or counter intake. | Cenuity's Dashboard will provide users the ability to file/process authentications, licenses, registrations and other services described in this RFQ. Constituents will also be able to submit forms to the State staff either via postal service or in person that may be scanned and filed using the Cenuity in-house application. Both the online and in-house solutions use guided process flows that prevent errors and enforce business rules |

| # | 4.1.11 Licensing and Registry | PCC Response |
|---|---|---|
| | | while providing an easy-to-use end-to-end guided experience for the user. |
| 4.1.11.2 | System workflow processing will be configured in the system to accommodate West Virginia-specific forms, fields, and rules to comply with West Virginia statutes. | PCC will work with the State in requirements elicitation and gathering sessions to analyze and document the West Virginia-Specific forms, fields and business rules required for the application to be in statutory compliance. The implementation team will modify the application to meet the requirements prior to system go-live. |
| 4.1.11.3 | The system shall provide the ability for public users to review their screens before submission | At the end of the filing flow, the user will be presented with a review screen where they can make changes if any are needed. Review of all data and selections made for the filing will be a required final step in the filing flow before final submission. If they choose to continue, the user will be navigated to the shopping cart. At this point, the use will be able to choose to checkout and pay for their filing or add more filings prior to proceeding to the payment screen. Both external and internal filing flows will display the review screen, either before submission by an external user or before rejection or acceptance by internal staff. |
| 4.1.11.4 | The system must provide external users with online filing options for various types of service areas (e.g. Notaries, Scrap Metal Dealers, Charities etc.) | Cenuity's Dashboard will provide the authorized external user with a convenient list of all available licensing filings actions. These lists will be conveniently organized under a menu structure designed in concert with the specific State's needs. Upon selection Cenuity will navigate the user to the first screen in that guided workflow. |
| 4.1.11.5 | The system must provide ability for internal staff to manually receipt paper filings in the system, by uploading a scanned image | The in-house portal will be a comprehensive one-stop solution for administrative needs. When filings arrive at the office via paper, fax, or in person, the staff users will be able to input them into the Cenuity system using a "triage" model. With this model, the triage staff will be able to create a work order from a single customer or customer packet, which may contain one or more filing transactions. The triage staff will scan in each filing document and associate to each individual filing transaction on the work order. If multiple pages of documents are received for a single filing, they may be scanned or uploaded in a single batch and the system will stitch them together and associate the unified document to the specific filing request. |
| 4.1.11.6 | The system must provide ability for internal staff to reject submitted filings | Filings will be accepted or rejected based on the business rules coded into each filing, and also will be rejected based on additional findings by the processing staff (the system provides a list of standard, check-off rejection reasons to increase efficiency, while also providing a window for staff rejection comments). Both acceptance and rejection will result in the creation of a letter that the staff user can print out to prepare for |

| # | 4.1.11 Licensing and Registry | PCC Response |
|---|---|---|
| | | mailing or trigger the system to email the document to the customer directly. |
| 4.1.11.7 | The system must provide ability to display application status to external users via user login credentials | Cenuity's Dashboard will provide the user with the status of any previously submitted filing associated to their User ID. The dashboard will display the status and any documentation previously submitted for the filing. Upon real-time approval, the dashboard will update the status of the filing and display the approved documentation. Creation of an authenticated user account is mandatory before an external customer can either submit filings or view their status. |
| 4.1.11.8 | The system shall provide the ability to identify registration filings that must be marked for review by internal staff | Cenuity will have the capability to route specified filing submissions meeting specified criteria to an internal review queue where internal staff with appropriate permissions will review and process them. PCC will work with the State to define which filing types are eligible for internal review and under what conditions. These business rules will be customized per filing type before Go-Live. |
| 4.1.11.9 | The system must provide external users with the ability to file modifications online, including initial application or renewals | Cenuity will allow users to file initial applications, amendatory filings, and renewal filings as appropriate to the filing type, and defined by business rules. The simple design of the online Cenuity Dashboard allows the user to choose from previously submitted filings in order to submit amendments and renewal filing documentation. |
| 4.1.11.10 | The system shall provide ability to verify that the entity type is correct for the entity filing requested. | Cenuity will include customized business rules regarding each entity type and filing type and will enforce valid combinations on both external filing flows and internal processing. For example, Cenuity will disallow a "Lost/Stolen Stamp or Seal" filing request to be filed upon a Trademark entity type. |
| 4.1.11.11 | The system must provide a method to determine and identify duplicate filings and not allow the filing of a duplicate name | PCC will prevent the application of duplicate filings by working with the State to determine business rules to customize in Cenuity regarding valid filing actions for a new entity record, and validations on the data that can be entered. Cenuity will provide a name distinguishability feature that will allow both external and internal users to determine if an existing entity of similar type already possesses the desired name, according to the State's specific distinguishability requirements. |
| 4.1.11.12 | The system must provide a way to verify data entered on a form to make sure it is accurate for the type selected | Cenuity will be customized to include field level data validation specific to the filing type and associated business rules. Both the in-house and online workflows provide customizable error messages to guide the user in providing the correct information for the filing. |
| 4.1.11.13 | The system must provide ability to require specific information for | PCC will work with the State to validate the fields required for each filing described in this RFQ. Fields for registered agent information, business entity entity information, and principal office address information will be |

| # | 4.1.11 Licensing and Registry | PCC Response |
|---|---|---|
| | a registered agent is entered during the time of filing | auto-populated by Cenuity according to business rules after selection and import of existing relevant record information from BER. |
| 4.1.11.14 | The system must track when a filing has been rejected | Cenuity 's staff workflow processing provides the ability to reject any submitted applications/documents. As part of the workflow, the staff may reject a filing at submission or in any stage of the process. The flow allows for editable rejection reasons which will be merged into a rejection letter correspondence. All correspondence, including rejections and date/time may be viewed in the documents contained within the filing history. |
| 4.1.11.15 | The system must provide ability to file a renewal for all licenses and registrations online | Cenuity's Dashboard will provide external users the ability to locate and submit renewal filing requests. The dashboard will offer guided workflows for renewals for appropriate filing entities and forms described in this document. |
| 4.1.11.16 | The system must provide ability to manage/change existing information (e.g. address updates etc.) | Cenuity's Dashboard will allow users external to the system to easily locate and manage/change information. Cenuity uses a guided workflow that allows the user to review and amend previously submitted filing information. Account related information and preference settings will also be modified by provided tools on the external user's Cenuity Dashboard. Existing information will also be able to be changed via the in-house Office Correct tool or customizable in-house filing flows. |
| 4.1.11.17 | The system must provide ability for external users to submit an online request to amend or reinstate a license/registration | Cenuity's Dashboard will provide external users the ability to locate and submit requests to amend or reinstate a license type as appropriate per business rules. The dashboard will offer guided workflows for amendments and reinstatements for the filing types and forms described in this document as appropriate per State business rules. |
| 4.1.11.18 | The system must provide ability to request and retrieve a certificate of status or additional copies of a certificate of status online | Cenuity's Dashboard and staff workflow will provide the ability to easily request a certificate of status or additional copies of a certificate of status for the filing types and forms described in this document as appropriate per State business rules. Cenuity will provide an intuitive tool that allows the user to search and locate a specific record and then request, purchase, and download a certificate of status for that record. Internal staff will have similar flows for fulfillment of certificate of status requests. Certificates will contain unique ID's for third party verification. Such a verification tool will also be provided on the unauthenticated portion of the online portal. |
| 4.1.11.19 | The system must provide ability to request and obtain a certified copy of a filed document online | Cenuity's Dashboard and staff workflow provide the ability to search, locate and view a record and then request a certified copy of the filed document, and render payment for the request. and obtain a certified copy of a filed document. Cenuity will (assuming it is allowed by the |

| # | 4.1.11 Licensing and Registry | PCC Response |
|---|---|---|
| | | State) generate a copy and certification page and deliver to the external user's Cenuity Dashboard in-box. Internal staff will have similar flows for fulfillment of certificate of status requests. |
| 4.1.11.20 | The system must provide ability to upload attachments when submitting an online filing. | Cenuity's Online filing workflow will provide the ability to upload attachments with online filings. The Online workflows will be customized to State business rules to provide this feature only for appropriate filing request types and to only allow appropriate file formats. |
| 4.1.11.21 | The system must provide ability to modify a registered agent and/or registered office on multiple 'licenses/registrations simultaneously | Cenuity will provide a feature that transfers a limited set of entity data from the Business Entity Registration system into Cenuity tables, and keep such records updated when changes are made in the BER. Cenuity will allow users to search and select entity records with Registered Office Address and Registered Agent records and associate such records to a license/registration in a referential manner. When these records are updated in BER they will then be updated in Cenuity, and the changes will reflect on all associated license/registration records. This assumes that there is referential integrity in place for registered agents. It assumes that no new entity, registered office or registered agent records are created in Cenuity itself, Cenuity will only allow selection and association of existing entity information from the BER system. That is to say, if an entity record, Registered Office or Registered Agent record exists in Cenuity, it will also exist originally in the BER system. |
| 4.1.11.22 | 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 | Cenuity will utilize an exposed API or other interface with the West Virginia business registry to provide the Cenuity user the ability to determine if the business is active or non-active in a real time interaction. PCC assumes that there is an existing interface in the West Virginia business registry to facilitate this lookup. |
| 4.1.11.23 | The system must provide ability to generate an acknowledgement correspondence to send the user information about their application and any certified copy requests | Cenuity will auto-generate emails and printable letters of filing status at key stages of the filing process including filing submission and approval/rejection by internal staff, as well as upon updates made by system jobs. Exact templates, requirements and triggers will be defined during requirements analysis. Cenuity will allow for customization of templates and triggers per each filing type and including service requests such as Certificates of Status or Certified Copy Requests. |

## 5.4.12    Functional Requirements – Financial

| # | 4.1.12 Financial | PCC Response |
|---|---|---|
| 4.1.12.1 | The system will allow for the acceptance of payments by major credit cards (Visa, MasterCard, | Cenuity allows for the entry, reconciliation and reporting of credit card payments. The online portal will interface directly with the State's |

| # | 4.1.12 Financial | PCC Response |
|---|---|---|
| | Discover and American Express) and interface with the STO E-Gov system for the collection and processing of credit card payments. | external payment gateway. In-House staff will process the payment in the payment system and then enter the amount and authorization ID as a payment line item in the Work Order Creation screen. This associates the payment type and amount directly to a filing request or requests and will allow Cenuity to track, reconcile and report on credit card payments. |
| 4.1.12.2 | The system will allow for online credit card payments. | The proposed Cenuity solution has a proven history interfacing with third-party vendor payment systems to collect online credit card payments from external customers. When the payment step is reached Cenuity will pass session control to the payment gateway where the customer will enter payment information. Upon acceptance of the payment the gateway will pass the browser control back to Cenuity and the customer will be navigated back to the completion screen of their shopping cart. The gateway will also communicate payment status and authentication ID to Cenuity, allowing Cenuity to confirm payment and also to generate reconciliation reports and include Credit Card payments in other fiscal reports and functions. |
| 4.1.12.3 | The system will provide ability to create a fiscal record for every payment received and create an audit trail | Every payment entered into the system creates a unique payment record with its own unique ID and set of status flags. Once committed into the system all edits to the payment record, such voids or Non-Sufficient Fund flags (bounced checks, charge backs) are recorded as line item historical items in the system along with date and user ID. This audit trail may be queried with the appropriate view in the Ad Hoc Query Report. |
| 4.1.12.4 | The system will provide ability to associate one payment to multiple documents received | Cenuity's fiscal functionality associates payments to a Work Order Record. In turn, multiple documents (e.g. an envelope of filing requests or service requests) may be associated to a Work Order. Thus, the payment or payments can be associated to however many documents are entered on the Work Order. The system validates that the payments recorded cover the fees recorded, allowing for rejections due to underpayment or to overpayment of funds |
| 4.1.12.5 | The system will provide ability to associate multiple payments to one or more documents received | Cenuity's fiscal functionality associates payments to a Work Order Record and more than one payment may be associated. In turn, multiple documents (e.g. an envelope of filing requests or service requests) may be associated to a Work Order. Thus, the multiple payments can be associated to however many documents are entered on the Work Order. Cenuity will also allow different payment types to be associated to a single Work Order, thus a check payment and a cash payment may be associated to a Work Order containing multiple filing requests. |
| 4.1.12.6 | The system will provide ability to associate a payment to a | Cenuity will associate payments to a business entity and structure through the Work Order Record, which records and associates the filer record, payment record(s), filing transaction record(s), the filing's |

| # | 4.1.12 Financial | PCC Response |
|---|---|---|
| | business entity and structure for online and paper filings | themselves and any business entity or entities associated to the filings. This results in the various key customer records linked through a convenient, easily searchable hub record. |
| 4.1.12.7 | The system will provide audit tracking for any and all financial processing associated to a business entity or structure | Payments and fiscal actions (refunds, voids, adjustments, bad checks, etc.) are tracked as line items in Cenuity's fiscal database. A high-level history view is available directly from the Work Order Record, or more detailed audit records may be exported from the Ad Hoc Query Tool. All payments are included in daily reconciliation reports and are locked from standard staff edits after processing of the Work Order |
| 4.1.12.8 | The system will provide ability to search, review and modify internally stored system payment information associated to a business entity or structure | Cenuity will contain a payment search utility allowing a user to search and view payment records, including the current status and past history of actions taken. Fiscal actions (refunds, voids, adjustments, bad checks, etc.) are tracked as line items in Cenuity's fiscal tables. A high-level history view is available directly from the Work Order Record, or more detailed audit records may be exported from the Ad Hoc Query Tool. Payment information is maintained in an audit log manner. That is, payment records are themselves not modified or deleted, rather additional records are inserted which indicate a change to the payment information. The system will provide the ability to defund fees and ledger accounts and apply the funds to the correct fees and ledger accounts in a controlled and audited manner. Refunds will be requested, approved and applied in a controlled and audited manner. Reversion of payments, a form of void available within a limited window before the funds are reconciled will be recorded as a line item. Negative receipts (bad checks, charge backs) will be available to privileged users and will apply negative line item values to all downstream funds disbursements in an audited manner. Likewise, repayment of funds from negative receipts will then be applied as additional positive deposits to all downstream fees and funds in an audited manner. |
| 4.1.12.9 | The system will provide ability to assign a receipt date and validation date separately | Cenuity will be customized to assign multiple dates according to state defined business rules. For example, in many states the receipt date is set by the system at time of receipt of payment, whereas the validation date is system defaulted to a standard time each but editable by users. The exact rules for each date will be determined during requirements analysis. |
| 4.1.12.10 | The system must be able to create and modify a fee schedule for reoccurring or scheduled payments | Fees are user configurable within the system via Cenuity configuration and lookup maintenance screens. Every Transaction type will have a configured set of possible applicable fees. Some fees may be mandatory, such as filing fees, while others will only be selected by the user where applicable, for instance when a filing is received with an expedite |

| # | 4.1.12 Financial | PCC Response |
|---|---|---|
| | | request. For filings where late fees or additional copy fees are possible the user will be presented with the option to add these fees when adding the Transaction to the Work Order. |
| 4.1.12.11 | The system must be able to store tokens supplied by the WVSTO's E-Gov system and transmit that token back to the E Gov system for the processing of reoccurring or scheduled payments. | Cenuity will be modified to store tokens supplied by the E-Gov system have the capability to transmit that token back to the E-Gov system for the processing of reoccurring or scheduled payments. |
| 4.1.12.12 | The system will provide ability to process refunds and reconcile payments received | Cenuity allows floor staff to request a refund on a specific filing request or fee. The request will be routed to an administrative approval queue where privileged supervisors will review and approve or deny the refund. Upon approval, Cenuity will generate the appropriate fiscal transactions and ledger entries as well as required correspondence. Refunds will be reconciled at a user level in individual fiscal-close out reports and system wide in the financial reconciliation report. The system records the complete trail of the funds, from entry into the system as a payment to disbursement from the system in the form of a refund, with date and user ID's associated to each step in the process. |
| 4.1.12.13 | The system will provide the ability to create daily deposit and cash summary reports | Cenuity provides daily financial reconciliation at both the individual and agency levels. The reconciliation reports will provide both summary and line item details of funds received. |
| 4.1.12.14 | The system will provide ability to create and generate ad-hoc fiscal reports in the system | Cenuity provides a suite of detailed fiscal reports which can be run at will and with user defined criteria such as date range and other criteria as appropriate to the report. In the event that the standard report suite does not cover a specific scenario, a customer report query can be created and run within the Ad Hoc Query Tool. PCC will provide a fiscal data view within the tool as part of initial configuration. |
| 4.1.12.15 | The system will provide ability to create and add new fiscal categories & object codes to the system | Cenuity provides authorized users the ability to create and add new fiscal categories & object code to the system. This includes fees, ledger accounts, and the fund disbursement relationship between them. Fees will then be associated to specific filing types and service requests. |
| 4.1.12.16 | The system will provide ability to link to, validate, and reconcile on both current date (date funds received) and date of filing | Cenuity will provide the ability to link to, validate, and reconcile on both current date (date funds received) and date of filing. Both dates are captured by Cenuity and linked to the Work Order and then through to all payments recorded on the work order. Either date may be used as criteria in Payment Search as criteria in the ad hoc fiscal reports. |
| 4.1.12.17 | The system must maintain financial transaction data (e.g., document fee, tracking number, document type, payment | Cenuity maintains a thorough financial transaction record which retains and links all pertinent Record ID's, type and status flags, and allows easy search and retrieval on each record type. |

| # | 4.1.12 Financial | PCC Response |
|---|---|---|
| | amount, applicable record, and payer name for tracking and audit purposes | Cenuity's receipting and fiscal tracking functionality begins and focuses around the Work Order business object. |
| | | The Work Order is the initial point of data entry for business requests received from customers which require work to be performed in the system. Cenuity assumes that work (and payment for the work) arrives in a packet which can contain one or more transaction requests and one or more payments to cover the fees. The Work Order consists of four basic types of information, each recorded in a separate data entry component of the Work Order Creation Screen: Customer Information, Filing Transaction Information, and Payment Information. Each information section will contain line item records with unique ID's, status flags, and histories, e.g. the Filing Transaction section will contain filing transaction record line items, each with their own type and ID. The various objects on the Work Order will in turn all be linked to the Work Order ID, and Cenuity provides two-way searching for record associations, e.g. a Payment Search with a Work Order ID will return all Payment ID's associated to the Work Order, and a Payment Search with a Payment ID will return the Work Order ID to which it is associated. |
| 4.1.12.18 | The system will provide ability to search for payments by data captured (e.g., login ID, transaction date, payment number) | Through the Work Order, Cenuity creates a central point of association for key business records in the system. Payment information can always be used to search and find an associated submitter and recorded transactions, and likewise, transaction specific information can be used to find not only the transaction, but any associated payments and submitter information. This ability to find related information extends to downstream records created through processing of the work. |
| 4.1.12.19 | The system must provide the capacity for printing all search returns | Cenuity provides an export feature when search results are returned. The export feature will allow the generation local download and display of a .csv file or .pdf file containing the search returns. The user may print the file from the file viewer controls. |
| 4.1.12.20 | The system must be capable of collecting, processing, and posting to licensee/registrant transaction records (folios), the payment card license or registry deposits and other payment card transactions. The funds for these payments must be processed and deposited by the vendor through the West Virginia State Treasurer's Office (WVSTO) E-Gov payment card system or other payment card processing system | Cenuity will be modified to interface with the E-Gov system to process and deposit funds. |

| # | 4.1.12 Financial | PCC Response |
|---|---|---|
| | designated by the WVSOS and settle to the appropriate WVSTO bank account. | |
| 4.1.12.21 | The system must be secured to protect all personally identifiable information (PII). | Cenuity will be secured to protect all personally identifiable information maintained in the system. |
| 4.1.12.22 | The Vendor must meet all currently applicable Payment Card Industry Data Security Standards (PCIDSS) security requirements and any updates thereto, all as reflected at www.pcisecuritystandards.org | Cenuity will not consume or store any credit card information within the application. Any direct entry of credit card information will be made after Cenuity has performed a redirect to a secure Payment Gateway page. After payment information is entered on the Payment Gateway page, the user will be redirected back to Cenuity and the Payment Gateway will supply relevant tokens, unique authentication number and last four digits of card number as necessary. This will be true for both public and staff initiated electronic payments. As Cenuity will not be engaging with relevant PCI data, the application will be compliant with the applicable PCIDS standards. |
| 4.1.12.23 | The system must encrypt and mask payment card information. No more than the last four numbers may be displayed on receipts. | Cenuity will be configured to not display whole credit card numbers on system screens or on paper outputs. Credit Card information will not be stored within Cenuity, only token references to the card information saved on the payment gateway. |
| 4.1.12.24 | The system must allow authorized users to post new charges to a customer's previous transaction after the initial transaction has been completed. | Cenuity will allow additional charges to be posted to a work order record even after the transactions have been processed. |
| 4.1.12.25 | The system must allow WVSOS to research all payment card transactions that originated in the system based on date, last four digits of card number, amount of transactions, customer's name, receipt number, transaction number, and location where the transaction originated | Cenuity provides a robust Payment Search feature that will allow search of all payment card transactions. |

## 5.4.13    Functional Requirements – Imaging

| # | 4.1.13 Imaging | PCC Response |
|---|---|---|
| 4.1.13.1 | The system will allow for the ability to upload scanned documents and associate them to a business entity or structure | Cenuity will provide staff various methods of uploading documents to associate to an entity. Both the staff internal filing creation workflow and the administrative correction functions will provide the ability to upload |

| # | 4.1.13 Imaging | PCC Response |
|---|---|---|
| | | documents scanned outside the system. This will allow association of the documents to either a new filing or a previously submitted filing. |
| 4.1.13.2 | The system must store images as compressed .tif or .pdf files | The Cenuity database will temporarily store the images either as compressed .tif during the scanning and association process and will store the finalized images as .pdf files for long term storage as part of the filing record. |
| 4.1.13.3 | The system must store all documents as a single file linked to the entity and filing | When multiple documents and/or multi-page documents are uploaded and/or scanned into the system and associated to an entity and filing, Cenuity will stitch all pages and documents together in a single, concatenated, multi-page .pdf document. This document will then be stored in the integrated document repository with a unique Document ID number which associates it to a single specific filing. |
| 4.1.13.4 | The system must provide ability to store all documents in perpetuity for active and inactive entities | The images will be by default stored in perpetuity. Entities which expire, are revoked, or are otherwise rendered inactive will be retained within Cenuity database and repository but with an "Inactive" status (or other status as defined during requirements). PCC will work with the State to define which Status values are returnable in external versus internal searches. |
| 4.1.13.5 | The system will provide ability to upload scanned documents and associate them to a business entity, structure | Cenuity will provide staff various methods of uploading documents to associate to an entity. Both the staff internal filing creation workflow and the administrative correction functions will provide the ability to upload documents scanned outside the system. This will allow association of the documents to either a new filing or a previously submitted filing. |
| 4.1.13.6 | The system will provide ability to view or remove a scanned/imaged document | The images within Cenuity will be able to be viewed or removed from a main record by an administrative user through the use of the Office Correct tool. |
| 4.1.13.7 | The system will provide ability to create and recreate any and all certified documents | The Cenuity Business Services Suite will automatically produce certified documentation upon the approval of a filing type associated to a certified template. These documents will be attached to the record and available for download both in-house and online. The Office Correct tool will provide the ability to recreate documents when there is an issue with the filing documents. The Print Acceptance tool will allow for the search, recall and download/printing of certified documents. |
| 4.1.13.8 | The system will provide the ability allow external users to upload documents per service area | Cenuity's Online filing workflow will provide the ability to upload attachments with online filings per service area. The Online workflows will be customized to State business rules to provide this feature only for appropriate file types. |
| 4.1.13.9 | The system must provide the ability for optical scanning | Cenuity will provide the ability for optical scanning capabilities to identify and automatically read barcodes printed on the incoming documents for |

| # | 4.1.13 Imaging | PCC Response |
|---|---|---|
| | capabilities to identify and automatically read barcodes printed on incoming documents for indexing purposes for both batch and individual scanning | indexing purposes for both batch and individual scanning. The system will use the barcode to identify the filing/document type. During both batch and individual scanning, the system will compare the filing type as indicated by the barcode and the filing type as indicated by the user on the transaction level (filing information) of the work order. Mismatches will trigger error alerts to the user and prompt for correction. |
| 4.1.13.10 | The system must adhere to the Agency requirements in compliance with West Virginia State Law and the Americans with Disabilities Act (ADA) | Cenuity will adhere to Agency requirements in compliance with West Virginia State Law and the Americans with Disabilities Act (ADA). |
| 4.1.13.11 | The system shall be designed for American English speakers | Cenuity will be designed for American English speakers. |
| 4.1.13.12 | The system will support deletion of scanned images | The images within Cenuity will be able to be viewed or removed from a main record by an administrative user through the use of the Office Correct tool. |

## 5.4.14    Functional Requirements – Correspondence

| # | 4.1.14 Correspondence | PCC Response |
|---|---|---|
| 4.1.14.1 | The system will allow for the generation and access specific correspondence templates | Cenuity will allow for the generation of and access to specific correspondence templates. PCC will work with the State to gather state-specific requirements and create form templates for correspondence and certificates. Each template will be associated to one or more filing type and the system will generate documents from the correspondence templates based on business rules as appropriate for filing type and actions within the system. |
| 4.1.14.2 | The system will allow for the generation of correspondence, by authorized Division users utilizing approved templates | The templates will be auto-filled based on business rules specific to the given template type and contain the signature of the appropriate certifying party (usually the Secretary of State). The system will enforce business rules so that only the pre-configured, pre-approved form of correspondence will be generated for each filing type or filing action. |
| 4.1.14.3 | The system will allow for the communication with business owners and/or contacts via email | The correspondence that will be sent out includes emails that are sent to online users upon account creation, filing confirmation, rejection, or status update, password changes, and compliance notifications. Cenuity will be configured such that communications are sent according to business rules upon the appropriate schedule or upon a triggering action or criteria and utilize defined templates and content. |
| 4.1.14.4 | The system will allow for the generation and sending of a single correspondence and | Cenuity will allow for the generation and sending of a single correspondence and generate and send mass correspondence to |

| # | 4.1.14 Correspondence | PCC Response |
|---|---|---|
| | generate and send mass correspondence to specific users (both internal and external) | specific users (both internal and external). Single external user correspondence will be generated according to business rules and templates upon specific triggers such as filing acceptance, rejection, etc. Cenuity will process mass correspondence batch notifications for upcoming compliance needs or alerts for out-of-compliance entities. These notifications are executed by pre-defined automated system jobs and specific users are included based on the status of the trademark, notary, or other type of record, and business rules regarding conditions when they are expected to file compliance reports or renewals. The system will also allow alerts and notices to be communicated to external users via the online dashboard and internal users via their internal staff dashboard widgets. |
| 4.1.14.5 | The system will allow for the logging and retrieval of all correspondence sent to users regarding their business entity | All correspondence for the filings performed by external users will be available in the Cenuity online digital mailbox for guaranteed delivery and for retrieval in perpetuity. In addition, the user will also receive a copy of the filing in the email address specified on their account. Cenuity can also be configured by PCC so that correspondence that is filed internally (mail, counter drop-off) will also be delivered to the external customers digital mailbox, provided the customer provides their unique customer ID with the physical correspondence. |
| 4.1.14.6 | The system will allow for the filing of acknowledgements by email regardless of submission method | Cenuity will allow for the ability to store email information regardless of submission method. The email will be used to deliver acknowledgements of filings and approval/rejection documentation. |
| 4.1.14.7 | 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. | Cenuity 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. Cenuity's Dashboard as well as an internal staff workflow will provide the ability to easily request a certificate of status in PDF format or additional copies of a certificate of status for the filing types and forms described in this document as appropriate per State business rules. Cenuity will provide an intuitive tool that allows the user to search and locate a specific record and then request, purchase, and download a certificate of status for that record. Certificates will be able to be customized, per State requirements. Cenuity will store SOS information and signature images by date in the database for use in certificates. Certificates will contain unique ID's for third party verification, which will also be provided on the online portal. |
| 4.1.14.8 | The system must store all correspondence generated and provide the ability for future retrieval | Cenuity's system-generated correspondence are stored in the integrated filing repository as .pdf documents. This includes file stamped versions of scanned or uploaded document images, receipts, |

| # | 4.1.14 Correspondence | PCC Response |
|---|---|---|
| | | acceptance letters, rejection letters, and notices. Cenuity will allow search, view and reprint of these documents through the appropriate system search tool. |
| 4.1.14.9 | The system must auto generate confirmation or tracking numbers and status information for online submissions via email to all users associated to an entity | The Cenuity solution will generate unique identification numbers for each transaction created in the system. The identification numbers will be available to be used in system searches to retrieve filing information, including current status of the filing. The identification numbers will be included on all correspondence to the filer. PCC will configure Cenuity to deliver filing notices to all users associated to an entity record which have valid email addresses in the system. |
| 4.1.14.10 | The system must generate renewal and expiration notices and change record status | Cenuity will provide batch jobs that will auto-generate renewal and expiration notices using rules determined by the State. Rules will also be customized with the State to update record statuses and send notices of changes in record status to the stakeholder for an entity. The notices will be available to be emailed to the appropriate parties or generated for paper mailings. In addition, for those online users that file online, or opt to receive dashboard updates, the user's will have alerts display in their online dashboard of renewal and expiration notices, and notices of modifications to their associated entity's status. |
| 4.1.14.11 | The system must provide functionality for internal staff to manage periodic forms and notices for mailings | Cenuity will provide batch jobs that will auto-generate renewal and expiration notices using rules determined by the State. Rules will also be customized with the State to update record statuses and send notices of changes in record status to the stakeholder for an entity. The notices will be available to be emailed to the appropriate parties or generated for paper mailings. In addition, for those online users that file online, or opt to receive dashboard updates, the user's will have alerts display in their online dashboard of renewal and expiration notices, and notices of modifications to their associated entity's status. |
| 4.1.14.12 | The system must provide ability to integrate signature fonts or signature images to be reflected on certificates and correspondence | The Cenuity in-house application will provide the functionality to store and integrate signature fonts or signature images to be displayed on certificates and correspondence. The functionality will allow the ability to save multiple signatures within date ranges the signature is applicable for correcting and regenerating historical data. |
| 4.1.14.13 | The system must provide an option to reprint previously generated certificates, rejection letters and receipts | The Cenuity in-house application portal will allow staff to easily search for certificates, rejection letters, and receipts by submitter, entity name, and payment confirmation number in order to re-print any needed documentation. The online dashboard of previously submitted filings will allow for easy retrieval of certificates, rejection letters and receipts that are associated with the external user's account. |

| # | 4.1.14 Correspondence | PCC Response |
|---|---|---|
| 4.1.14.14 | The system must provide the use of mass email communications in each module to offer communications (and possible attachments) to end users | Cenuity will allow for the generation and sending of a single correspondence and generate and send mass correspondence to specific users (both internal and external). Single external user correspondence will be generated according to business rules and templates upon specific triggers such as filing acceptance, rejection, etc. Cenuity will process mass correspondence batch notifications for upcoming compliance needs or alerts for out-of-compliance entities. These notifications are executed by pre-defined automated system jobs and specific users are included based on the status of the trademark, notary, or other type of record, and business rules regarding conditions when they are expected to file compliance reports or renewals. The system will also allow alerts and notices to be communicated to external users via the online dashboard and internal users via their internal staff dashboard widgets. |

## 5.4.15     Functional Requirements – Reporting

| # | 4.1.15 Reporting | PCC Response |
|---|---|---|
| 4.1.15.1 | The system will log and retrieve all reports generated by the system | Cenuity will log system-generated reports with date/time and user id in an audit table. At-will canned reports and ad hoc queries will be logged with criteria, date/time and user ID in the audit table and may be retrieved by re-running the report with the criteria or saved query in the Ad Hoc Query tool. |
| 4.1.15.2 | The system will create and run specific reports for pertinent staff and functional areas (e.g. fiscal reports, administrative reports etc.) | Cenuity will create and run specific reports for pertinent staff and functional areas as defined during requirements analysis. Some key reports are the Daily Individual User Close Out, which reconciles all deposits and fiscal actions (entry or modifications of funds) for a user, the Master Close Out which reconciles deposits and fiscal actions system-wide, and the Filing Summary Reconciliation Report which compiles totals of filing counts and fees by filing type. |
| 4.1.15.3 | The system will provide a user dashboard to enable staff to access reports based on user access and permissions | The Cenuity Business Service Suite will consider a user's role when determining which reporting tools are available on the user's dashboard. Privileges to access a given reporting tool can be given or denied to users on a role-based level. |
| 4.1.15.4 | The system will provide the ability for authorized Division users to write and run ad hoc reports | One of the most powerful tools within Cenuity is the Ad-Hoc Query Tool. This tool provides Administrators with the ability to dynamically generate reports containing a variety of fields in the database. PCC provides 10 broad SQL views which are used to generate the list of available data fields. The administrative user can pick and choose which fields they need in an easy-to-use graphical user interface. The interface was designed to offer a great deal of flexible reporting functionality without requiring the staff member to have SQL knowledge. The ad-hoc |

| | | |
|---|---|---|
| | | query tool builds the queries behind the screen and returns a dataset to the user. Like standard reports, ad-hoc reports can be exported to Excel, CSV, or PDF. Once a report is built it can be saved and run again at a later time. Saved report queries may also be edited and re-saved. The main goal of the ad-hoc query tool is to provide staff with data and information on an as-needed basis without requiring special knowledge or access to the database directly. |
| 4.1.15.5 | The system will provide scripts for ad hoc reports that will be maintained within the system for future use | See content in response above Cenuity provides an ad-hoc query tool. The authorized staff user can configure queries based on pre-configured views with easy to understand parameters, and the queries can be saved for future use. The saved queries can be user-based or shared with all staff for reusability.<br><br>PCC will provide 10 broad initial views of data fields that may be used by the state to build customized query scripts. During requirements analysis PCC will train Stakeholders to design and create within the tool 10 initial queries which are useful to the State. The application also offers many financial and administrative reports which have pre-defined scripts but can be run at will with user-provided criteria. For example, the Payment History by Payer Report can be run by staff at will. The staff user can modify the date range over which the report is run as well as the User ID of the Payer (Customer). |

## 5.4.16    Functional Requirements – Administration

| # | 4.1.16 Administration | PCC Response |
|---|---|---|
| 4.1.16.1 | The system will provide a workflow queue with work assignments based on current functional areas | Cenuity will provide an integrated, configurable work queue routing and processing system. This feature will center around the Work Queue Dashboard, where users and administrators will monitor pending and completed work and pull items from the queue to review, input or otherwise process. PCC will work with stakeholders to design and create a set of user roles based on current functional areas and workflow requirements. Each user role created in the system will have a corresponding work queue. For each role work queue an administrator will define the filing types which be routed to that queue and therefore to all users who are assigned that role. Processing users will all access the Work Queue Dashboard but will each see an individualized version configured to their role. PCC will work with the Stakeholders to design and configure within the system tools a set of initial queues and routing rules based on functional areas and workflow requirements. |
| 4.1.16.2 | The system will provide ability to assign work assignments to specific staff | Cenuity's Work Queue Dashboard will allow users with sufficient role privileges to assign work to specific staff users. Cenuity will provide |

| # | 4.1.16 Administration | PCC Response |
|---|---|---|
| | | assignment buttons on each filing transaction in the work queue and allow the user to select from a list of eligible users as well as a work priority value. Once assigned, the transaction will be visible only to supervisors and the assigned user and no longer be visible to other staff users. On the assigned user's dashboard the assigned transaction will be promoted above other non-assigned, pending transactions. When multiple transactions are assigned to a user, they will be sorted on the dashboard in order of the work priority set by the supervisor. |
| 4.1.16.3 | The system will provide the ability for staff to manage, sort and route tasks | Cenuity provides the ability to manage, sort and route tasks from the Work Queue Dashboard. Administrators can define the default work routing flow by filing type and user role. Supervisors can view the status of all work within the system and assign work to specific users. All users can search the work queue transactions by entering unique criteria such as Work Order ID or Filer Name or refining the visible transactions by status or filing type, or sort upon one of the columns of the transaction such as received date. |
| 4.1.16.4 | The system will provide the ability for staff and administrators to modify work assignments during any phase of the workflow lifecycle | The in-house portal allows supervisors to control workflow by assigning (or un-assigning) work to users. Filing type and other transaction information can be modified from the Work Order itself, which will update the transaction and its location in the Work Queue. |
| 4.1.16.5 | The system must maintain audit log for all changes to records containing information on edit date, last edit user and previously stored content | Cenuity contains an audit logging feature designed to capture changes being made to data and to store the user, IP address, and metadata regarding the change being made. This audit log can be queried through the use of the ad-hoc query tool. |
| 4.1.16.6 | The system must ensure that all system transactions are logged in the database and auditable | Cenuity also contains an audit logging feature designed to capture changes being made to data and to store the user, IP address, and metadata regarding the change being made. This audit log can be queried through the use of the ad-hoc query tool. |
| 4.1.16.7 | 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 | Cenuity is role-based and access will either be restricted or expanded based on the user login. The role is assigned at the time of user creation and can be modified at any time. |
| 4.1.16.8 | The system software will not contain any features permitting access to the system in violation of its security features or the change management process | Cenuity will not contain any features permitting access to the system in violation of its security features or the change management process |
| 4.1.16.9 | The system software will not contain any features rendering the system inoperable, or degrade its performance | Cenuity will not contain any features rendering the system inoperable, or degrade its performance |

| # | 4.1.16 Administration | PCC Response |
|---|---|---|
| 4.1.16.10 | The system software provided will be certified by the vendor as virus and malware free | Cenuity provided will be certified by the vendor as virus and malware free |
| 4.1.16.11 | The system must have the capability to monitor transactions through the system for the purposes of auditing, error diagnosis, and performance management | Cenuity will have the capability to monitor transactions through the system for the purposes of auditing, error diagnosis, and performance management |
| 4.1.16.12 | The system must support encryption of data, including the ability to transmit and receive encrypted files and messages | Cenuity will support https and sftp for the transmission and reception of files and messages. |

### 5.4.17 Functional Requirements – Authentication and Authorization

| # | 4.1.17 Authentication and Authorization | PCC Response |
|---|---|---|
| 4.1.17.1 | The system will have the ability to create, update and manage user roles and permissions for both internal and external users | The in-house portal of Cenuity will be used by different staff users who are assigned differing duties and responsibilities within the office. While these role permissions are mapped from within the Cenuity system, the authentication requests are validated against the State Active Directory to verify whether the given user should even be allowed any access in the first place. External users will have a separately managed set of permissions maintained in "Customer Maintenance". Based on state requirements, this tool will contain toggles to turn on or off various features of the external portal on an individual user account basis. |
| 4.1.17.2 | The system will have the ability to control access to sections of the system according to defined permissions and roles | Features and sections of Cenuity are accessed by clicking on menu items displayed on the internal dashboard. Each user can be assigned to a role and each role is mapped to a selection of menu items in Cenuity. This will allow administrative users to restrict certain roles from having access from certain menu functions and from the associated features and sections of the system. |
| 4.1.17.3 | The system will have the ability to differentiate between internal and external users | Internal Cenuity users will access the in-house system from entirely different portal than the public users. This portal has its own URL that is not provided to the public. The in-house portal authenticates users against the agency's Active Directory (AD). This assures first that the user is a validated member of the agency who has sufficient authority to be included in the agency's enterprise credential store. This precludes unauthorized access to the system by users that are not a part of the State AD. Second, if the user is a part of the AD, the system checks its own user table to determine whether this particular user has been added |

| # | 4.1.17 Authentication and Authorization | PCC Response |
|---|---|---|
| | | by an administrator. Only upon these successful checks, and a valid password, will the user be granted access to the Cenuity system. |
| 4.1.17.4 | 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 | The unauthenticated public user will have access to forms, links, and searches within the system. The user will arrive at the Cenuity homepage from either an internet search or from a link on the SOS website. On the homepage, they will be able to find information related to the service areas that the State wishes to compile and provide to PCC for placement. If the user wishes to perform searches, they will be able access the public search feature. Once the user wishes to perform filings in the system, they will be required to create an account. Since these users do not authenticate into the system, there is no authorization that occurs. They remain a general public user until such time as they decide to create an account. |
| 4.1.17.5 | The system will provide one-to-one credentials only. There is not to be any shared access. | Cenuity authenticates users against the State Active Directory system. A credential and user id within Cenuity will map to only one Active Directory credential. There will be no shared access in Cenuity. |
| 4.1.17.6 | The system must provide access in the areas of fiscal, imaging, correspondence and service areas in addition to areas already defined | Cenuity will provide access in the areas of fiscal, imaging, correspondence and service areas in addition to areas already defined |
| 4.1.17.7 | The system will ensure that different levels of permission will be defined by the project team and implemented according to approved design requirements | Cenuity will make sure that different levels of permission will be defined by the project team and implemented according to approved design requirements |

## 5.4.18    Functional Requirements – Migration

| # | 4.1.18 Migration | PCC Response |
|---|---|---|
| 4.1.18.1 | The system must have the ability to integrate and migrate data from existing systems | PCC will perform data conversion/migration into the new system as a part of Cenuity implementation. PCC will work with Stakeholders during requirements analysis to identify the sources of data mentioned within this RFQ and integrate the appropriate data into the new table structures for user validation prior to Go-Live. |
| 4.1.18.2 | The system must have the ability to import data from other data sources (e.g. FTP; code tables etc.) | PCC will perform data conversion/migration into the new system as a part of Cenuity implementation. During requirements analysis PCC will work with stakeholders to identify the relevant data from the sources such as FTP and code tables listed in the RFQ and import it into the new |

| # | 4.1.18 Migration | PCC Response |
|---|---|---|
| | | system prior to go live. Cenuity will also import data from the interfaces developed as described in the RFQ. Cenuity is flexible and will allow for additional interfaces to be developed if the need is identified in the future. |
| 4.1.18.3 | The vendor will provide mapping of the .tif and .pdf images in the Legacy system | As part of the data conversion process PCC will migrate the .tif and .pdf images from the legacy system into Cenuity's integrated document repository. At the same time, the records from the legacy data tables will also be migrated and mapped to the legacy images. Prior to go-live the migration and mapping of the data will be validated by Stakeholders, and Cenuity will track all future record-image mapping within Cenuity's own schema and repository. |
| 4.1.18.4 | The vendor will provide a migration plan which successfully moves all the data to a single database and database type | Data conversion design and development tasks will occur in parallel with system configuration or customization of the other modules described in this section, to accommodate required data and record types being available for System Integration and User Acceptance Testing. PCC will provide a data migration plan as part of this process. Cenuity will utilize an SQL Server database. |
| 4.1.18.5 | The vendor must provide a migration plan that will include multiple migrations to include historical data, data through development, and "Go Live" data | As part of initial requirements analysis PCC will develop a migration plan includes multiple data pulls (migrations) at different points in the development and implementation process. The exact timeline and number of pulls will be determined at the analysis phase but will include at the least all legacy data delivered or made available at kick off, all delta data recorded between kick off and Go-Live, as well as any data required to be present in the system at the point of Go Live. |
| 4.1.18.6 | 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 | PCC will ensure that the migration of "Go Live" data will have a limited impact on the duration existing public facing interface is offline. PCC has experience gained through several dozen Go Live events and has developed strategies for minimizing downtime and efficiently managing cut over activities between two systems. |
| 4.1.18.7 | The system must provide the ability for images to be indexed in the database with all images of documents stored on a file server | PCC will perform image conversion to transfer database images to PDF and the images to a single repository on the recommended storage device. The images will not be stored as objects within the database, only the relationship to a filing will be recorded within the database. |
| 4.1.18.8 | The system must ensure that migration will keep a 1:1 relationship between filings and an entity | Cenuity will ensure that migration will keep a 1:1 relationship between a given filing and an entity. The entity record is linked to the filing by use of a foreign key constraint at the filing table. At the time the transaction occurs, this is stored atomically and assures a one to one relationship. |
| 4.1.18.9 | The system must ensure that migration will keep a 1:1 | Cenuity will ensure that migration will keep a 1:1 relationship between a filing and its associated images. Much as the relationship between an |

| # | 4.1.18 Migration | PCC Response |
|---|---|---|
| | relationship between a filing and associated images | entity and a filing, the filing image is stored on the file system structure with a path that is kept in the database. Upon generation and storage of a filing image, the file path is stored with a foreign key constraint to the filing, thus assuring a one to one relationship. |
| 4.1.18.10 | The vendor must develop a 5 year growth plan for the database based on a 10% annual increase of filings | PCC will develop a 5-year growth plan for the database based on a 10% annual increase of filings. |
| 4.1.18.11 | The system must maintain the historical records and associations to the appropriate filings during the migration process | Cenuity will maintain the historical records and associations to the appropriate filings during the migration process. PCC's data conversion team keeps the current linking intact when historical records are migrated to the new system. |
| 4.1.18.12 | The vendor must ensure the data be analyzed for integrity, gaps identified where necessary, and recommend where differences will need to be reconciled | PCC will ensure the data be analyzed for integrity, gaps identified where necessary, and recommend where differences will need to be reconciled. PCC will provide data anomaly reports from a technical perspective and allow the state to provide rules to correct the data prior to final migration. |
| 4.1.18.13 | The vendor must ensure that the data be transformed from current to future state and routines created for converting | PCC will ensure that the data is transformed from current to future state and that routines are created for performing this conversion. PCC performs data analysis and mapping from legacy to the new system and then develops the appropriate routines as a result. |
| 4.1.18.14 | The vendor must plan for the addition and modification of data throughout the migration process | PCC will plan for the addition and modification of data throughout the migration process by allowing the State to perform manual data cleaning, if such a need is identified. PCC using a multiple-pull strategy to assure the State of ever more accurate data conversion. |

## 5.4.19    Functional Requirements – General

| # | 4.1.19 General | PCC Response |
|---|---|---|
| 4.1.19.1 | 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 | Fifteen states chose PCC's Cenuity product for their business filing and registry solution. For all projects, PCC provided project management, requirements gathering, development and configuration, testing, and training. We continue to provide maintenance and support for each of these clients. |
| 4.1.19.2 | The selected COTS solution must include differential authentication and authorization levels | As described in Section 04 General Requirements, Cenuity includes role-based authentication and permissions which differentiate user, administrative and supervisory access. Account creation is secure and managed through single sign-on and application level security. |

| # | 4.1.19 General | PCC Response |
|---|---|---|
| 4.1.19.3 | 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 | Cenuity contains an audit logging feature designed to capture changes being made to data and to store the user id, IP address, and metadata regarding the change being made. This audit log can be queried through the use of the ad-hoc query tool |
| 4.1.19.4 | The vendor must develop and execute a detailed testing plan at the unit, integration, system (Beta), and User acceptance | PCC's testing approach begins with the creation of a Test Plan. The purpose of this Test Plan is to outline the testing approach and strategy for Cenuity through the development of each software release. The test plan includes testing deliverable details, resources, assumptions, and risks. The primary audience is the SOS project manager, SOS subject matter experts (SMEs), PCCs project manager, and SOS technical resources. The Test Plan will be initiated during Phase 2: Gap Analysis and Specification Documentation, updated during Phase 3: Software Modification and Unit Testing and finalized during Phase 5: Testing. |
| 4.1.19.5 | The vendor must develop and execute a detailed testing plan at the unit, integration, system (Beta), and User acceptance | This is a duplicate of 4.1.19.4. Please reference above for response. |
| 4.1.19.6 | The selected vendor will maintain a repository of the documents for all project team members | PCC will provide an account in the Box.com service where project documentation will be uploaded and maintained during the course of the implementation. State and Vendor team members will have mutual access to project documentation. |
| 4.1.19.7 | The selected vendor will ensure that all subcontractors must be properly vetted and approved by the Department | If engaging with subcontractors, PCC will obtain any required licenses and registrations, prior to engaging in work on the project. |

## 5.4.20    Functional Requirements – Security

| # | 4.1.20 Security | PCC Response |
|---|---|---|
| 4.1.20.1 | The system must provide ability to create external user accounts and user credentials for authentication and authorization | Should the public user need to perform additional functions not available to unauthenticated users, the account creation process is an easy, one-step process that does not require intervention by in-house staff. The user provides basic non-sensitive information about themselves, including a unique email address, and the system creates an account. The user then can log in to the public portal where they will be presented with a dashboard and a menu to the in-scope online services. |
| 4.1.20.2 | The system must provide ability to send an authentication email | Cenuity will send an authentication email when an external user creates a user account. The email informs the user, without divulging |

| # | 4.1.20 Security | PCC Response |
|---|---|---|
| | when an external user creates a user account | sensitive information, that an account has been created for them and that they can now verify the account. |
| 4.1.20.3 | The system must provide the ability for external users to create, manage and change their usernames and passwords without Agency intervention | For the external portal, Cenuity will collect username and password information from users when they create their profiles. These credentials shall then be used to authenticate those users on subsequent visits. Users can use the "Forgot Password" link to have temporary new credentials provided to them through an email process and can proactively change their password and other personal/preference information within their profile once logged in to the portal. |
| 4.1.20.4 | The system's website must utilize Transport Layer Security 1.2 (TLS) with at least 256-bit Advanced Encryption Standard (AES) | Communication between the user's browser and the system will be encrypted using SSL digital certificates using TLS 1.2 with 256-bit AES encryption. |
| 4.1.20.5 | The solution must meet the Laws, Rules, Regulations, and Codes of the State of West Virginia and its agencies | PCC commits to meeting the laws, rules, regulations, and codes of the State of West Virginia as they pertain to the scope of this RFQ. |

## 5.4.21    Functional Requirements – Calendaring

| # | 4.1.21 Calendaring | PCC Response |
|---|---|---|
| 4.1.21.1 | The system will allow filings to occur at any time of the year | Cenuity does not restrict filings to a particular time of year. Users will be able to file throughout the year. |
| 4.1.21.2 | The system must recognize weekends and not include them in the business day count | The allowable effective date range will be customized for the State. The system will not count weekends and State holidays when determining the allowable range. |
| 4.1.21.3 | The system must recognize state holidays and not include them in the business day count | The allowable effective date range will be customized for the State. The system will not count weekends and State holidays when determining the allowable range. |
| 4.1.21.4 | 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 | Cenuity will allow for customized closing dates. The system will not count customized closing dates when determining the allowable range. These dates will be managed in a Calendar Maintenance tool. |
| 4.1.21.5 | 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 | The Cenuity Business Services Suite will be date-aware as there are a number of functions and processes that depend on a variety of date types that are stored in the system. Regardless of which date type is being acted upon by the business logic, the audit features of Cenuity will store the actual date upon which a given event or filing occurred. |

| # | 4.1.21 Calendaring | PCC Response |
|---|---|---|
| | | This is an important concept which keeps the "actual" date physically separated and distinct from the other date types which are captured to drive statutory business logic. An example of this type of "logic date" is the effective date. Effective dates are statutorily captured to denote that a particular filing (if so allowed) must not be considered officially filed until the specified effective date has been reached, even though it has been actually filed and approved prior to that date. The system will treat these filings as normal filings during the intake process but stores the specified effective date alongside the associated records so that it can be used while performing functions such as a name availability search. |
| 4.1.21.6 | The system must allow for later effective dates for amendments and make change on selected date | The Cenuity Business Services Suite will be date-aware as there are a number of functions and processes that depend on a variety of date types that are stored in the system. Regardless of which date type is being acted upon by the business logic, the audit features of Cenuity will store the actual date upon which a given event or filing occurred. This is an important concept which keeps the "actual" date physically separated and distinct from the other date types which are captured to drive statutory business logic. An example of this type of "logic date" is the effective date. Effective dates are statutorily captured to denote that a particular filing (if so allowed) must not be considered officially filed until the specified effective date has been reached, even though it has been actually filed and approved prior to that date. The system will treat these filings as normal filings during the intake process but stores the specified effective date alongside the associated records so that it can be used while performing functions such as a name availability search. |

## 5.4.22    Product Development – Training

| # | 4.1.22 Training | PCC Response |
|---|---|---|
| 4.1.22.1 | The vendor must develop and provide training using a "train the trainer" method | PCC will equip the staff with proper understanding and tools to learn the customized Cenuity in-house and online solution. PCC will conduct a train-the-trainer for the State designated trainers. The train-the-trainer facilitated workshops will allow the attendees to practice in the system and role play situations. Attendees will be provided modularized User Training Guides and Quick Reference materials. |
| 4.1.22.2 | The vendor must provide training onsite at the WV Secretary of State's Office | All training conducted by PCC will be conducted onsite at the WV Secretary of State's Office at an agreed time and place. The State will provide the equipment needed for the training sessions. |

| 4.1.22.3 | 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 | To insure staff members are competent before deployment of Cenuity, PCC will survey attendees to gather metrics regarding the readiness of the staff following training. Training gaps will be identified and addressed to insure users are competent before the deployment. |
| 4.1.22.4 | The vendor will provide a "sandbox" for the exploration, demonstration, and training of the system | PCC will provide a "sandbox" for the exploration, demonstration, and training of the system. |

## 5.4.23   Product Development – Testing

| # | 4.1.23 Testing | PCC Response |
|---|----------------|--------------|
| 4.1.23.1 | The vendor must develop and execute a detailed testing plan at the unit, integration, system (Beta), and User acceptance | PCC will provide end-to-end testing services based on industry standards and the real-life experience PCC has amassed through dozens of similar projects. The types of testing and quality assurance experience and capabilities PCC will bring to bear for the project include:<br><br>• Test and quality assurance planning<br>• Requirements traceability to ensure full testing coverage of requirements<br>• Iterative major document deliverables to allow for quality assurance and approvals in easier to manage pieces<br>• Pre-developed core product test scripts customized for client-specific requirements<br>• Exhaustive Unit Testing of each developed code module and procedure<br>• System Integration Testing to ensure all consolidated modules work together in harmony prior to User Acceptance Testing (UAT)<br>• Automated system, UAT and regression testing<br>• UAT Training for testing stakeholders to ensure ability to navigate application to execute tests and understanding of test scripts and issue reporting process<br>• Supervised UAT kickoff with ongoing UAT support for user self-testing<br>• Data conversion testing and exception reporting<br>• Security penetration and vulnerability testing via Qualys<br>• Production viability testing<br>• * Ongoing unit, user, and regression testing for warranty and maintenance releases |

| # | 4.1.23 Testing | PCC Response |
|---|---|---|
| 4.1.23.2 | 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 | PCC will follow best practices in designing, implementing, and validating thorough test plans for each function of the application and the overall unit in which the function is deployed. PCC will partner with the State to insure test plans are appropriate and meet the individual needs of each business unit. |
| 4.1.23.3 | 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 | PCC will insure through best practices in deployment and test planning that unit and integration testing are included in the system modification lifecycle. Test scripts will be written based on documented and approved requirements. The test scripts will include not only the expected changes to the system, but processes potentially impacted by the proposed changes. |
| 4.1.23.4 | The vendor must provide an issue tracking system (ITS) for the reporting and tracking of "bugs" | PCC will utilize Team Foundation Server (TFS) for issue tracking, reporting and management. This is our central development management system and it is used to track and manage conversion related anomalies, reported issues, and related resolutions. TFS will be used from the moment that the data conversion project begins until the entire project is successfully completed |
| 4.1.23.5 | The system must ensure that all promotions are to be Beta and successfully complete User Acceptance Testing (UAT) before a deployment | PCC will use best practices in release management to insure only those items that successfully complete User Acceptance Testing (UAT) will be promoted to a production environment. PCC uses source code management and release management software to restrict unapproved changes from migrating to production environments. |
| 4.1.23.6 | 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 | PCC will ensure that Team Foundation Server (TFS) will record 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 |
| 4.1.23.7 | 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 | PCC will 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. PCC will work with the Stakeholders to develop a release plan and process to promote code, including well defined oversight and sign-off criteria at each step. TFS will be used to manage and promote builds to the various solution environments. |

| # | 4.1.23 Testing | PCC Response |
|---|---|---|
| 4.1.23.8 | 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. | PCC will ensure that safeguards are in place and a defined process is in place to back out promoted code and return the solution to a previous version, including well defined oversight and sign-off criteria at each step. TFS will be used to manage and promote builds and roll backs to the various solution environments. |

## 5.4.24     Additional Deliverables

| # | 4.1.24 Additional Deliverables | PCC Response |
|---|---|---|
| 4.2.1 | Provide an automatic failover and an offsite data backup within the continental United States | PCC will host the Production Environment in the Amazon Web Services (AWS) US-East-1 region and the Disaster Recovery Environment in the AWS US-West-2 region with automatic failover to the DR Environment in the event a catastrophic failure in the Production Environment is detected. Data in the proposed solution will be backed up on a nightly basis and transferred to AWS S3 (an offsite location).. |
| 4.2.2 | A disaster recovery plan | PCC understands the importance of a sound disaster and recovery plan. PCC will work with the State to develop a detailed disaster recovery (DR) plan for the proposed business services filing solution, such that sensitive and proprietary information within the system databases is not compromised during any unforeseen event or technical obstacle. |
| 4.2.3 | Using industry standards to protect against fraudulent filing activity (i.e. user accounts, delegated filing authority, better tracking capabilities and investigative options, etc.) | Cenuity's online account system will mandate that customers create accounts with a password before they can submit any filing to the State. Since all payments will be made through a secure gateway credit card there will be a financial audit trail. Cenuity will track the payment and filing activity history of customer accounts, both online and in-house, and allow investigators the ability to research suspicious activity. |
| 4.2.4 | Provides search capabilities for users, admin and public searches | Cenuity follows a design philosophy that users should be able to find data as easily as they enter it. Cenuity's search tools provide multiple criteria options and allow for multiple filter criteria to be applied to a search. Our search tools make research and reprints a breeze. |

# 6. OTHER REQUIREMENTS

## 6.1     Contract Award (RFP Section 5)

**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.

**Pricing Page:** Vendor should complete the Pricing Page by giving a Unit cost for each Item listed and a Total Bid Amount for all Items. Solicitation will be evaluated on Total Bid Amount. Award will be for the first year's services only. Any services for subsequent years will be added by Change Order, initiated by at the Agency, agreed to by the Vendor and approved by the West Virginia Purchasing Division.

PCC has reviewed and understands this requirement.

**5.2** 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.

PCC has completed the Exhibit A: Pricing Page in full, in addition to entering the pricing in wvOASIS.

## 6.2     Performance

**6. PERFORMANCE:** Vendor and Agency shall agree upon a schedule for performance of Contract Services and Contract Services Deliverables, unless such a schedule is already included herein by Agency. In the event that this Contract is designated as an open-end contract, Vendor shall perform in accordance with the release orders that may be issued against this Contract.

The work items in the Project Schedule, finalized during Project Planning, will be identified with sufficient granularity that tracking against milestones will indicate whether significant deviations are taking place from the planned objectives. PCC Project Management staff will monitor and track the project progress against the baseline Project Milestones on a daily and weekly basis and at project milestones. The PCC Project Manager will report project progress to the SOS Project Manager on a weekly basis including any variance from the baseline Project Management Plan. In addition, quality assurance reviews will be conducted at the end of each project phase and/or at monthly checkpoints. These reviews are important in keeping accurate project status reports and information flowing through the organization in support of needed management decisions.

## 6.3     Payment

**7. PAYMENT:** Agency shall pay flat fees, as shown on the Pricing Pages, for all Contract Services performed and accepted under this Contract. Vendor shall accept payment in accordance with the payment procedures of the State of West Virginia.

PCC will accept payment according to the State of West Virginia's payment procedures. We have proposed an incremental payment schedule based on the approval of project deliverables in compliance with the requirements in the RFQ.

## 6.4     Travel

**8. Travel:** Vendor shall be responsible for all mileage and travel costs, including travel time, associated with performance of this Contract. Any anticipated mileage or travel costs may be included in the flat fee or hourly rate listed on Vendor's bid, but such costs will not be paid by the Agency separately.

All anticipated travel costs to provide a successful implementation have been included in our fixed-bid pricing in Exhibit A: Pricing Page

# 6.5     Facilities Access

**9. Facilities Access:** Performance of Contract Services may require access cards and/or keys to gain entrance to Agency's facilities. In the event that access cards and/or keys are required:

9.1. Vendor must identify principal service personnel which will be issued access cards and/or keys to perform service.

9.2. Vendor will be responsible for controlling cards and keys and will pay replacement fee, if the cards or keys become lost or stolen.

93. Vendor shall notify Agency immediately of any lost, stolen, or missing card or key.

9.4. Anyone performing under this Contract will be subject to Agency 's security protocol and procedures.

9.5. Vendor shall inform all staff of Agency's security protocol and procedures.

PCC has reviewed and understand the Facilities Access requirement and will comply should access cards and/or key be required to gain access to Agency's facilities.

# 6.6     Vendor Default

**10. Vendor Default:**

10.1.     The following shall be considered a vendor default under this Contract.

    10.1.1.     Failure to perform Contract Services in accordance with the requirements contained herein.

    10.1.2.     Failure to comply with other specifications and requirements contained herein.

    10.1.3.     Failure to comply with any laws, rules, and ordinances applicable to the Contract Services provided under this Contract.

    10.1.4.     Failure to remedy deficient performance upon request.

10.2.     The following remedies shall be available to Agency upon default.

    10.2.1.     Immediate cancellation of the Contract.

    10.2.2.     Immediate cancellation of one or more release orders issued under this Contract

    10.2.3.     Any other remedies available in law or equity.

PCC acknowledges these terms. PCC requests that it be given a minimum of 10 business days to remedy any asserted default prior to cancellation.

# 6.7     Miscellaneous

**11. Miscellaneous:**

**11.1. 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:** Ranga Kalakuntla, Assistant Vice President     **Telephone Number:** (216) 798-3173

**Fax Number:** (614) 944-5192

**Email Address**: Ranga.Kalakuntla@pcctg.com

# 7. PRICING

PCC has provided the required pricing document, ERLSPricingPage.xls as an attachment in WV OASIS. The following assumptions apply to the pricing included therein.

## 7.1    Pricing Assumptions

**Data Conversion**

- The State will provide PCC with images in a standard file system format and data from the legacy system in a structured data file that is either:
  - Flat file, structured format
  - Relational database backup
  - The State will provide PCC with any existing data dictionary, entity relationship diagrams, and/or equivalent supporting documentation for the legacy system(s) if available.
  - After reasonable scripted rules and defaults have been exhausted by the PCC conversion efforts, the State will perform any manual cleansing or entry of incomplete data if required.

**General**

- As a fixed price contract, state-requested changes that extend the project schedule may result in a change control request.
- As a modified-off-the-shelf (MOTS) solution, the State recognizes the PCC product's functionality as the baseline, with configuration and customization limited to the State-specific business rules, fields and labels, report and correspondence outputs, and functionality described by the RFQ response to requirements as requiring customization.
- The State will provide written acceptance on all deliverables within 5-business-days of receipt. If the deliverable is deemed deficient or unacceptable, the State will provide the exact reasons for the rejection to PCC in writing within the 5-day period. If a written rejection is not received within 5 business days, the deliverable shall be considered accepted so that the project can move forward.
- The State is responsible for the timely execution of test scripts to ensure the completion of the UAT phase. PCC provides standard test scripts that can be modified by the State to meet their needs.
- The Pricing quoted for ongoing support and hosting costs assumes the following instances provided and managed by PCC in the Amazon Cloud.
  - Production  WebApp Server                m5.xlarge
  - Production  Database Server              m5.2xlarge w/ SQL Standard
  - Staging and Testing WebApp Server        m5.large
  - Staging and Testing Database Server      m5.xlarge w/ SQL Standard
- The State can opt to host the application on their own internal servers or within a State provided Azure Environment to reduce or eliminate the PCC hosting and managed services costs currently included in the Year 1-5 Support costs. See assumptions column in Cost Proposal Worksheet for potential savings estimates.

- Based on PCC long history of successful support for similar business registry systems across the country, we know that over time clients require less vendor assistance. Option Year 3 and 4 maintenance prices are based on the following limited support options:
  - Year 3 and 4 include Quarterly Releases with documentation limited to extracts from TFS, a quarterly meeting to discuss the release items, and 40 development hours allocated for bug fixes each month.
  - Additional hours are available as needed based on Rate Card provided.

## 7.2    Pricing Options

PCC ensured compliance with the RFQ by pricing all requirements to be met as stated in the Mandatory Requirements Section. There are several areas where PCC would be able to offer the State alternative or reduced effort options for some functionality to reduce cost, but still meet the statutory and general needs of the SOS. We welcome an opportunity to discuss savings in some of the categories listed below as part of any upcoming negotiations:

- State vs. Vendor Hosting
- Targeted Data Conversion
- POS Integration and Card Present Processing
- BERS Integration
- Fiscal Integrations
- Registered Agent Processing
- Renewal Notices and Reports/Outputs
- Fixed-hour Maintenance

# 8. PURCHASING AFFIDAVIT

STATE OF WEST VIRGINIA
Purchasing Division

## **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: _____PCC Technology Inc_____

Authorized Signature: _____     Date: __7/11/2019__

State of __Connecticut__

County of __Hartford__ , to-wit:

Taken, subscribed, and sworn to before me this _11th_ day of __July__ , 20_19_.

My Commission expires __Oct. 31__ , 20_22_.

**AFFIX SEAL HERE**                                    NOTARY PUBLIC _Jenn A Mikalonis_

> JENNIFER MIKALONIS
> Notary Public, State of Connecticut
> My Commission Expires Oct 31, 2022

*Purchasing Affidavit (Revised 01/19/2018)*

# APPENDIX 1 – SOFTWARE LICENSE, HOSTING AND MAINTENANCE

## Section 1 – WVSOS Maintenance and Support

This document describes services included as maintenance and support for the West Virginia Secretary of State (WVSOS) as implemented to meet the requirements of the State of West Virginia.  PCC will provide project management and a Helpdesk to answer designated WVSOS Staff questions, log trouble tickets, escalate bugs to PCC's Level 2 support team for application defect resolution, and estimate change requests for enhancements.

PCC's Project Manager will:

- Review and prioritize the issue log weekly to ensure progress.
- Evaluate & coordinate enhancement requests based on WVSOS priority and funding.
- Conduct monthly status meetings to discuss support service applicability, responsiveness, effectiveness, and quality.

The Helpdesk will:

- Answer WVSOS designated Staff questions regarding issues with operation or performance of the application.
- Log trouble tickets.
- Escalate to Level 2 Support for problem triage.

PCC's Level 2 Support team will:

- Analyze problem reports.
- Determine the nature of problem – data, software, operation.
- Recommend work-arounds when feasible.
- Provide assistance in resolving data issues.
- Escalate to Level 3 Support for software and database analysis.

PCC's Level 3 Support (Application Maintenance) team will:

- Research escalated problems; perform root cause analysis and plan corrections.
- Recommend implementation plans for corrections (i.e. 'hot fix' patches, interim builds, or future releases).
- Develop temporary workarounds as required.
- Correct software defects.
- Perform application and database performance tuning.

# Section 2 – HelpDesk Access & Defect Reporting

| | |
|---|---|
| Eligible Users: | Designated WVSOS staff |
| Help Desk Support Levels: | Level 2 and 3 |
| Help Desk Hours: | 8:00 AM – 5:00 PM Central Time: Monday – Friday<br>Except US Federal and State of West Virginia holidays |
| Telephone #: | To be established upon contract execution.<br>Available 24/7; includes voice mail box after Help Desk support hours stated above |
| Help Desk Email: | To be established upon contract execution. [_____@pcctg.com]<br>Available 24/7; monitored during business hours stated above |
| Managed Hosting: | N/A |
| WVSOS Support Portal: | To be established upon contract execution. |
| Help Desk Response: | The Help Desk will respond to users as detailed in the support tier table below. Requests received during non-business hours will be addressed the next business day. |

## 2.1 Help Desk Priorities and Escalation Protocol

When an Authorized User contacts the Help Desk, a ticket will be opened in the user's name.  The Help Desk uses an internal ticket tracking system.  If the user has an email address on file with the Help Desk, the user will receive an email that verifies a ticket has been opened and provides the ticket reference number.

If an Authorized User sends an email or leaves a voice mail message, a ticket will still be opened for the user's problem or question as quickly as possible.  Support and enhancement requests may also be initiated by this same process.  Tickets are categorized according to the severity of the problem.  As help requests are received, a ticket is created and assigned a priority based on the severity of the problem.  The table below outlines the four priorities, their definitions, the response times to be expected, the update frequency, and the expected resolution time.

.

| Severity Level | Issue | Description | Response | Status | Resolution |
|---|---|---|---|---|---|
| 1 | Critical | • No system feature is currently functioning; application is completely unavailable or severely impaired.<br>• Multiple people are or the entire office is unable to function.<br>• No suitable workaround is available. | 1 business hour | Every 2 hours | ASAP |
| 2 | Serious | • System is not functioning properly or a core component of the system is no longer functional.<br>• Work is able to continue in an acceptable capacity with a sufficient workaround. | 1 business day | Daily | As Scheduled with Client |
| 3 | Medium-Low | • System is functioning according to design specifications. Incident can be regarded as a cosmetic issue or non-business essential, possible enhancement or future feature suggestion.<br>• End user may have a question about the functionality of the application. Incorrect spelling or wording on the system. | 2 business days | Monthly | As Scheduled with Client |

If the reported problem cannot be solved by the Helpdesk, the ticket will be escalated to the Level 2 support team. Level 2 teams include subject matter experts. When necessary, tickets will be escalated to the Level 3 support team. Level 3 is staffed by software and database staff with expertise with the West Virginia Secretary of State application and the appropriate development technology.

All problems escalated to Level 2 or 3 and all enhancement requests will also be posted in the internal ticket tracking system. Status updates will be provided to the Authorized User as the status of the ticket changes.

# Section 3 – Change Request Process

## 3.1 Overview

The purpose of a Change Management Procedure is to ensure any change to baseline material is recorded, assessed, authorized, and implemented in a controlled manner.

If either party determines that it is necessary to alter or modify the scope of the baseline project as described below, the Change Management Procedure applies.

## 3.2 Baseline Project Definition

To clearly ascertain the definition of a **bug** versus an **enhancement**, it is important to understand the project and system baseline covered by this agreement. As an implementation of a COTS solution with WV configurations, this contract covers bugs that are directly attributable to (or result of) the code and data elements implemented as part of the WV project. For example, the bug may be the result of an incorrectly coded WV requirement, a missed WV requirement (i.e., the requirement was identified and approved but was not programmed), or an incorrectly coded product feature which is providing an error or is clearly in conflict with intended Cenuity operations. Issues with a requirement that was not identified during the requirements phase or incorrectly documented during the requirements phase but signed off by the WVSOS are considered changes. All change requests, including those for new or enhanced features, will be governed by the process outlined in the following sections.

## 3.3 Change Request Log

The PCC Project Manager maintains the Change Request Log. The Change Request Log is an inventory of all change requests, with summary status information about each. As Change Requests are received, the PCC Project Manager assigns a number and enters the request into the Change Request Log.

The PCC Project Manager maintains the status of the requests. Valid status values are:

- Raised – Change Request has been received by the PCC Project Manager and is being evaluated internally.
- Rejected – Change Request has been rejected by either the PCC Project Manager or WVSOS Project Manager.
- Request Clarification – PCC Project Manager received the request, but returned it to the Originator for additional information.
- Submitted – The evaluation is complete and the Change Request has been submitted to WVSOS.
- Accepted (Pending) – WVSOS Project Manager has accepted the Change Request, but the funding has not been secured.
- Accepted (In Progress) – Funding has been provided and the work is scheduled for future release.
- Closed – The Change Request has been completed.

## 3.4 Change Request Procedure

### 3.4.1 Change Request Initiation

PCC recognizes that changes are a normal part of the project life cycle. PCC believes that managing change is critical to the project's ultimate success. This change procedure will be used in any situation where a change occurs to the project as defined in the Contract. As the project proceeds, there can be occasions when changes are desired to the scope, approach, process(es) and procedures that were originally agreed to. The change process will also be used when these processes and procedures are violated, when there is a failure to perform some aspect of the Contract (non-compliance).

A change request may be initiated by the WVSOS Project Manager, any representative (e.g., Consultant through a Requirements session), or any member of the project team. The Change Request Form (CR), shown in Appendix A, is initially filled in by a project team member. If a person outside the project team wishes to initiate a change request, that person will work with a project team member who will fill in the Change Request Form. The project member that initiates the form is deemed to be the Originator of the CR and is responsible for ensuring adequate information is provided in the CR. The change process for this maintenance and support agreement is:

1. Anyone, PCC or WVSOS personnel, may request a change and is the Originator of the Change Request (CR).
2. The Originator completes the following fields:
   - Requested By
   - Request Date
   - Priority (High, Medium, Low)
   - Reason for Request
   - Description of Change
   - Assumptions
3. The originator submits the CR via email to the PCC Project Manager and copying the WVSOS Project Manager.
4. The PCC Project Manager, or designee, analyzes the change request, assigns a CR Number and checks that the request is understandable and contains all relevant information for the request to be evaluated and completes the Change Request form.
5. Change documentation includes a Description and Justification of the change and an estimate of the impact on cost and/or schedule. All change requests are logged, tracked, and reported in status reports and meetings.
6. The PCC Project Manager presents his reviewed change request to the WVSOS Project Manager for review, discussion, and disposition.

### 3.4.2 Change Request Review

1. If additional information is required, the PCC Project Manager enters the CR into the Change Request Log with a status of "Request Clarification" and returns the Change Request Form to the Originator for clarification.

2. If the information is complete, but the PCC Project Manager makes the determination that the request does not merit additional evaluation, the PCC Project Manager documents the reason, enters the CR into the Change Request Log with a status of "Rejected", and returns the CR to the Originator. No further action is taken on this change request.

3. If the information is complete and the PCC Project Manager determines the CR has merit, the PCC Project Manager enters the CR into the Change Request Log with a status of "Raised" and forwards the CR to the WVSOS Project Manager for evaluation and a Change Request Assessment.

### 3.4.3 Change Request Assessment Guidelines

The project team member to whom the CR is assigned will conduct a change assessment. The PCC Project Manager will inform the WVSOS Project Manager, in writing, if there will be any charge for services in conducting the change request assessment and the WVSOS Project Manager will decide whether PCC should conduct the change assessment.

The change request assessment will include, but not limited to, ensuring that the CR:

- Describes any changes in products, services, assignment of personnel and other resources that PCC believes will be required;
- Estimates the increase or decrease in PCC charges that would be required due to the change;
- Specifies how the proposed change would be implemented;
- Describes the effect, if any, the change would have on terms agreed to in the contract (if known);
- Estimates all resources to implement the proposed change;
- Describes any delivery risks and associated risk mitigation plans; and
- Provides other information that may be relevant to the proposed change.

The PCC team member conducting the change request assessment or PCC Project Manager records the results of the assessment in the Maintenance Impact, Effect on Project Scope and Effect on Assessment, Project Deliverables, Schedule Impact, and Project Cost Impact portions of the Change Request Form noting revisions as necessary, updating the Revision History as appropriate.

The change request assessment will be completed within ten (10) days of the Change Request receipt by the PCC Project Manager. If the requested change is too complex and it will take more than ten (10) days to complete the detailed assessment, the PCC Project Manager will complete a summary assessment and work with the WVSOS Project Manager to agree upon a schedule for a more detailed change assessment (additional costs may apply).

### 3.4.4 Change Request Agreement

Once the change request assessment is completed, the CR is forwarded to the PCC Project Manager. If the PCC Project Manager is satisfied that the Change Request has been thoroughly evaluated, he/she will forward the CR to the WVSOS Project Manager who will coordinate their project team review of the CR. The PCC Project Manager updates the CR status in the Change Request Log to "Submitted".

The WVSOS project team will review the Change Request and respond within ten (10) days, indicating whether the WVSOS wishes PCC to implement the change.

The change request must be disposed (approved or rejected) by the WVSOS Project Manager within 10 days after submittal. This approval/rejection must be in writing (no verbal or default approvals). The Change Request form lists the specific timeframe so there will be no confusion about schedule.

If the WVSOS Project Manager does not respond to the change within the 10-day timeframe, the change request will be added as an item on the issues log and fall under the Issues Management process. Also, it must be understood that the change request may need adjustment after that date because impacts can change over time.

The PCC Project Manager will maintain the original Change Control documents, along with the Change Request Log specific to the project.

If the Change Request does not affect the terms of the Contract (i.e. adequate funding exists in the Contract), PCC will continue with the Change Request implementation provided the PCC Project Manager has been given approval by the PCC Division Lead or Chief Operating Officer to do so. PCC. However, PCC will not commence any additional work or change the scope of work until authorized in writing by the WVSOS.

If the Change Request does affect the terms of the Contract, then no work associated with the change request will begin until formal approval is received.

If the WVSOS and PCC both agree on the Change Request, but the Change Request results in a change to the Contract (i.e. additional funding required), PCC will work with the WVSOS project team to construct any necessary amendments to the price, timetable, contract terms, or other obligations under the Contract. PCC and the WVSOS will execute a contract change order based upon the Change Request. No claim for additional compensation shall be made in the absence of a prior written approval from the WVSOS.

If the WVSOS project team makes the determination that they do not wish to accept the Change Request, the WVSOS Project Manager will notify the PCC Project Manager. The WVSOS Project Manager/PCC Project Manager will update the Change Request status to "Rejected" and no further action will be taken on this Change Request. The PCC Project Manager will notify the requester of the Change Request disposition. All previously agreed upon investigative charges will still apply on a "Rejected" CR.

### 3.4.5 Change Request Implementation

Once a Change Request is accepted and funded (such as via an approved contract amendment) by the WVSOS project team, the PCC Project Manager updates the Status in the Change Request Log to "Accepted – In Progress".

The PCC Project Manager obtains resources and schedules the work. Once the work is complete, the WVSOS Project Manager reviews the work to verify all configuration items (documentation, etc.) were included in the implementation of the Change Request.

When the WVSOS Project Manager is satisfied, the change has been implemented in a complete fashion, the PCC Project Manager updates the CR status in the Change Request Log to "Closed" and informs the originator. If there is a billing point related to the change, the PCC Project Manager initiates the deliverable billing procedure.

# Section 4 – Separately Chargeable Services

The following items are excluded from PCC's monthly support agreement and can be acquired via Change Request at either the hourly rates in the governing contract or estimated as a fixed price change order.

- Training
  - Online webinars in excess of 1-hour per month
  - On-Site Training
- Software enhancements
  - Hourly or fixed fee
  - Project Management
  - Managed user acceptance testing
  - Release notes
  - Release management
  - Online training [as needed]
- Legislative changes affecting WVSOS
- 3rd party software changes resulting in application updates (e.g. Browser updates)
- Special analysis and reports
  - Performed at hourly rate per agreement

# Section 5 – Contract, Terms, and Conditions

## CONTRACT FOR SOFTWARE LICENSE, HOSTING AND MAINTENANCE

This agreement ("**Agreement**") is made and entered into on [TBD], ("**Effective Date**") by and between the State of West Virginia, 1900 Kanawha Boulevard East. Building 1, Suite 157K, Charleston, West Virginia 25305 ("**WVSOS**") and PCC Technology Inc., located at 100 Northfield Drive, Suite 300A Windsor, Connecticut 06095 ("**PCC**") (WVSOS and PCC each a "**Party**" and collectively the "**Parties**").

In consideration of the mutual promises and agreements of the Parties herein, the Parties agree as follows:

## ARTICLE 1 – LICENSE

1.1     **Grant**. Subject to the terms and conditions of this Agreement, PCC hereby grants to Licensee a nonexclusive, worldwide, and nontransferable license ("**License**") to use the software modules identified on **Attachment A (Software)** as licensed to Licensee ("**Software**"), its derivatives, and documentation of the Software provided or made available to Licensee pursuant to this Agreement ("**Licensed Material**") solely for Licensee's governmental purposes as contemplated by the CRFQ 1600 SOS2000000001 solicitation 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, charitable licensing, notaries, trademark, Apostilles, and FOIA databases ("**RFQ**"). The License includes copying of the Licensed Material by Licensee with respect to its intended and licensed use, including copying of the Licensed Material for archival purposes.

1.2     **License Term**. Following receipt by PCC of the payments contemplated by **Section 4.1 (Fees)**, the License will extend until such time as no enforceable rights remain in the Licensed Material.

1.3     **Authorized Users**. The License is extended to Licensee's employees, agents, subcontractors, contractors, outsourcing vendors, consultants and others who have a need to use and copy the Licensed Material ("**Authorized Users**") in accordance with the terms of this Agreement. Licensee will be responsible for the Authorized Users, and any acts or omissions of any Authorized User which if done by Licensee would constitute a breach of this Agreement by Licensee, will be deemed a breach of this Agreement by Licensee.

1.4     **Ownership**. Licensee acknowledges, agrees, and understands that PCC is the sole and exclusive owner of the Licensed Material and any improvements thereto.

1.5     **Prohibited Uses**. Licensee shall not do, shall not permit any third party to do, and shall use commercially reasonable efforts to prohibit any Authorized Users or other third parties from doing any of the following:  (a) using any Licensed Material in a manner that violates this Agreement or any applicable laws and regulations, or to send unsolicited bulk email or "spam", (b) reverse engineering, translating, decompiling or disassembling the object code of the Licensed Material, or (c) copying (other than for archival purposes as described in **Section 1.1 (Grant)**), modifying, creating derivative works of,

sublicensing, selling, leasing, loaning, renting, distributing, conveying, pledging as security, or otherwise encumbering the Licensed Material.

1.6    **No Implied Licenses**. No different, other or further right or license, other than what is granted in this **ARTICLE 1 (LICENSE)**, is intended or granted by this Agreement, whether by express or implied means or by estoppel, and this Agreement does not assign any right, title or interest in any of the Licensed Materials. All rights and interests not expressly granted under this Article 1 are reserved to PCC.

## ARTICLE 2 – HOSTING

2.1    **Hosting Services**. Throughout the term of the Agreement, PCC shall provide hosting services as set forth in **Attachment B (Hosting)** ("**Hosting**").

2.2    **De-Hosting**. Upon request by Licensee within 6 months following termination of the Hosting, PCC will make a copy of the hosted data available to Licensee in a mutually agreeable format.

## ARTICLE 3 - MAINTENANCE
3.1    **Maintenance Services**.  Throughout the term of the Agreement, PCC shall provide maintenance services as set forth in **Section 1 (WVSOS Maintenance and Support)** and **Section 2 (HelpDesk Access & Defect Reporting)** of the Enterprise Registration and Licensing Proposed Contract ("**Maintenance**"). In general, the maintenance services consist of prompt customer support on-site or by telephone, fax or email as detailed in those Sections.

3.2    **WVSOS Cooperation**.  WVSOS acknowledges that PCC's ability to provide Maintenance is dependent on the cooperation of WVSOS and the quantity of information that WVSOS can provide. WVSOS will use commercially reasonable efforts to reproduce all reported problems and gather troubleshooting information as requested by PCC.  If WVSOS cannot reproduce such problems or gather requested information, WVSOS will provide PCC temporary login access on WVSOS's system to identify and address reported problems.  PCC will have no responsibility for failure to provide Maintenance as a result of WVSOS's failure to cooperate with PCC.

## ARTICLE 4 – SERVICES
4.1    **Change Request and Separately Charged Services**.  Throughout the term of the Agreement, PCC shall provide change request services and separately charged services as set forth in **Section 3 (Change Request Process)** and **Section 4 (Separately Chargeable Services)** of the Enterprise Registration and Licensing Proposed Contract ("**Services**") as agreed upon between the Parties pursuant to those Sections.  PCC will faithfully perform the Services using the degree of care, skill, training, diligence and judgment ordinarily exercised under similar circumstances by competent members of the profession which PCC practices or industry or business in which PCC works.  PCC warrants that Services will perform in accordance with and in the manner described by related documentation, training manuals, and functional design specifications.  The Parties agree that any software or other intellectual property

created during the performance of the Services will be owned exclusively by PCC and licensed to WVSOS on terms consistent with the license terms described in **ARTICLE 1 (LICENSE)**.

4.2     **Correction**.  PCC agrees to promptly re-perform, repair or replace, at WVSOS' option and at PCC's cost and expense, any Service or associated deliverable which fails to conform to such warranties. Correction of any error in the manner described above shall constitute complete fulfillment of all obligations and liabilities of PCC for nonconforming Services, whether the claims of WVSOS are based in contract, warranty, tort (including, but not limited to, negligence and strict liability), or otherwise.  This exclusive remedy is WVSOS' sole remedy for any failure of PCC to comply with its warranty obligations. The warranty period shall end 60 days from the completion of the Services.

4.3     **Acceptance**.  Except where this Agreement provides different criteria, Services will be accepted if they have been performed in accordance with the specifications applicable to the Services.  Upon notification by PCC that a Service (or associated deliverable) has been completed and is available for review and acceptance, WVSOS will use commercially reasonable efforts to review within 5 business days after the notification.  PCC will correct any unaccepted Services as described in this **ARTICLE 2 (SERVICES)**.  If no notification is delivered to PCC within the foregoing period, the Service will be deemed accepted**.**

4.4     **WVSOS Cooperation**.  WVSOS acknowledges that PCC's ability to provide Services is dependent on the cooperation of WVSOS and the quantity of information that WVSOS can provide. WVSOS will use commercially reasonable efforts to cooperate with the performance of the Services as reasonably requested by PCC.  If WVSOS cannot reproduce such problems or gather requested information, PCC will have no responsibility for failure to provide Services as a result of WVSOS's failure to cooperate with PCC.

## ARTICLE 5 – COMPENSATION

5.1     **Maintenance Fees**.  WVSOS will make the payments for the Maintenance identified in **Section 5 (Contract Charges)** of the Enterprise Registration and Licensing Proposed Contract on the Effective Date and each month thereafter.

5.2     **Services Fee**.  WVSOS will make payments for Services, monthly for hours billed at the rates set forth in **Section 5 (Contract Charges)** of the Enterprise Registration and Licensing Proposed Contract together with associated expenses, or as otherwise agreed between the Parties in writing for particular Services.

5.3     **Payment Terms**.  PCC will invoice WVSOS for fees as they become payable pursuant to this **ARTICLE 2 (COMPENSATION)** on the schedule shown above, or as otherwise agreed between the Parties in writing for particular Services.  All payments by WVSOS to PCC shall be made within 30 days of WVSOS's receipt of PCC's invoice.  PCC assumes all responsibility for payment of taxes from the funds received under this Agreement.

## ARTICLE 6 – LIABILITY

6.1     **Consequential Damages Waiver**.  Neither Party shall, under any circumstances or in any event, be liable to the other Party for any special, punitive, indirect, incidental, or consequential damages of any

nature, including, without limitation, loss of actual or anticipated profits or revenues; loss of production, by reason of shutdown, non-operation, or otherwise; increased expense of manufacturing or operation; loss of use; increased financing costs; or cost of capital.

6.2     **Limit of Liability**.  Notwithstanding anything set forth in this Agreement, PCC's maximum liability in the aggregate for any claim arising under or otherwise related to this Agreement shall in no event exceed the amount of monies received by PCC under this Agreement in the 12 months prior to such claim.

## ARTICLE 7 – TERM AND TERMINATION

7.1     **Term**.  The Agreement is effective as of the Effective Date and will continue for a period of 1 year from the Effective Date.  WVSOS will have 4 options to extend the contract for an additional 1 year, for a possible duration of 5 total years.

7.2     **Termination for Lack of Funding**.  In the event funds are not appropriated or otherwise made available by the West Virginia legislature for this Agreement, this Agreement will be terminated effective July 1 of the fiscal year for which funding has not been appropriated or otherwise made available.

7.3     **Termination/Suspension for Default**.  In the event of any material breach of this Agreement, the non-breaching Party may terminate this Agreement by giving 30 days' prior written notice to the breaching Party; provided, however, that this Agreement shall not terminate if the breaching Party has cured the breach prior to the expiration of such 30-day period.  In lieu of termination, the non-breaching Party may suspend performance under this Agreement by such written notice until the breaching Party has cured the breach.

7.4     **Termination for Insolvency**.  If (a) insolvency, receivership or bankruptcy proceedings are instituted by or against a Party and are not terminated within 30 days, (b) a Party makes an assignment for the benefit of creditors or (c) a Party admits an inability to pay its debts as they come due, then in any such event the other Party may in its sole discretion terminate this Agreement without notice.

7.5     **Survival**.  Except as set forth to the contrary herein, the Parties understand and agree that all terms and conditions of this Agreement, which by reasonable implication contemplate continued performance or compliance beyond the termination of this Agreement (by expiration of the term or otherwise) shall survive such termination and shall continue to be enforceable as provided herein), including **ARTICLE 3 (COMPENSATION)** (to the extent any payments are due but not yet paid as of expiration or termination), **ARTICLE 4 (LIABILITY)**, this **Section 5.4 (Survival)**, and **ARTICLE 6 (MISCELLANEOUS)**.

## ARTICLE 8 – MISCELLANEOUS

8.1     **Confidentiality**.  PCC agrees that it will not disclose to anyone, directly or indirectly, any personally identifiable information or other confidential information gained from WVSOS unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made subject to the WVSOS's policies, procedures and rules.

8.2    **Governing Law**.  This Agreement will be governed by and construed in accordance with the laws of the State of West Virginia, excluding any choice of law provisions that may direct the application of any laws of any other jurisdiction.

8.3    **Assignment**.  Neither Party shall assign any interest in this Agreement by assignment, transfer, or novation, without prior written consent of the other Party; provided, however, that PCC may assign this Agreement (a) to any affiliate of PCC or (b) in connection with an assignment of all or substantially all of PCC's assets to which this Agreement relates. This provision shall not be construed to prohibit a Party from assigning to any banking, trust company, or other financial institution any money due or to become due from approved contracts without such prior written consent.  Notice of any such assignment or transfer shall be furnished to the other Party.

8.4    **Force Majeure**.  Neither WVSOS nor PCC shall be considered in default in the performance of the obligations hereunder, except with respect to payment of monies hereunder, if such performance is prevented or delayed because of unavailability of labor, war, hostilities, revolution, civil commotion, acts of terrorism, strike, epidemic, accident, fire, wind, flood; or because of any act of God; or for any cause, whether similar or dissimilar, now or hereafter existing, beyond the reasonable control of the Party affected.  The Party suffering a delay in its performance caused by an above described occurrence shall give notice thereof to the other Party as soon as reasonably possible thereafter, and shall use reasonable efforts to overcome such delay.  In the event of such an occurrence, the Parties shall consult to determine how to overcome the effect on the Project and shall mutually agree to any equitable adjustment to the compensation due PCC hereunder.

8.5    **Miscellaneous**.  This Agreement, together with the remainder of that Enterprise Registration and Licensing Proposed Contract between the Parties, which is incorporated by reference herein, is the entire agreement of the Parties on the subject matter hereof.  This Agreement supersedes all prior agreements and understandings (whether written or oral) between the WVSOS and PCC with respect to the subject matter hereof. In addition, this Agreement may not be modified or amended unless agreed by the Parties, reduced to writing, and signed by both the WVSOS and PCC.  Further, if any part of this Agreement is adjudged invalid, illegal or unenforceable, the remaining parts shall not be affected and shall remain in full force and effect.  Headings in this Agreement are for convenience only and shall not affect the interpretation thereof.

IN WITNESS hereof, the Parties have executed this Agreement effective as of on the day and year first above written.

State of West Virginia                    PCC Technology, Inc.


Signature: _____      Signature: _____


Print: _____        Print: _____

Title: _____          Title: _____

Date: _____          Date: _____

**ATTACHMENT A - Software**

The following modules of the [PCC Cenuity Software Suite] as described in the [PCC Response to the RFQ]:

- Cenuity Core
- Charities
- Notaries
- Apostilles
- Trademarks
- Marriage Celebrants
- Private Investigators/Security Guards
- Scrap Metal Dealers
- Athlete Agents
- Public Records Requests

**ATTACHMENT B - Hosting**

PCC agrees to provide Licensee with access to the Software through a hosted computing environment. Hosting of the Software is provided through the Amazon AWS Cloud Data Centers.

Term

Hosting will continue during the term of the Agreement.

Pricing

Pricing for hosting will be as set forth in the PCC Response to the RFQ (1600 SOS2000000001)

Security

**Physical Location and Security**

It is proposed to host the Production environment in the AWS Cloud Region located in Eastern United States with Disaster Recovery environment running in Western United States AWS Cloud Region. Physical access is strictly controlled both at the perimeter and at building ingress points by professional security staff utilizing video surveillance, intrusion detection systems, and other electronic means.

**Network Security**

Network devices, including firewall and other boundary devices, are in place to monitor and control communications at the external boundary of the network and at key internal boundaries within the network. These boundary devices employ rule sets, access control lists (ACL), and configurations to enforce the flow of information to specific information system services. ACLs, or traffic flow policies, are established on each managed interface, which manage and enforce the flow of traffic. ACL policies are approved by Amazon Information Security. These policies are automatically pushed using AWS's ACL- Manage tool, to help ensure these managed interfaces enforce the most up-to-date ACLs.

Further information about the security of the AWS is available at https://aws.amazon.com/security/

# Section 7 – Appendix A

## CHANGE REQUEST FORM

| Client | | CR No. | |
|---|---|---|---|
| **Project Name** | | **Project No.** | |
| **Project Manager** | | **Client Contact** | |
| **Requested By** | | **Request Date** | |
| **Client Approver** | | **Date Submitted** | |
| **Priority (H, M, L)** | | **Client Reply Da** | |

| **Description of Change** |
|---|
| |

| **Justification / Reason for Change** |
|---|
| |

| **Documentation and/or Training Impact** |
|---|
| |

| **Warranty and/or Maintenance Impact (if any)** |
|---|
| |

| **Effect on Project Scope** |
|---|
| |

| **Assumptions** |
|---|
| |

| No. | Effect on Deliverables, Schedule, and Project Cost | | | |
|-----|-----|-----|-----|-----|
| | Deliverable / Item | Estimated Delivery Date | Net Change, Hours Increase or (Decrease) | Net Change, Cost Increase or (Decrease) |
| | | | | |
| | Totals | | | |
| | New Project End Date (If Applicable) | | | |

| Impact of NOT Approving this Change |
|-----|
| |

**APPROVALS:**

| PCC Approval |
|-----|

Signature _____ Title _____ Date _____

Comments _____

_____

_____

| Client Approval |
|-----|

**Acceptance or Rejection is requested within _____ days.**

Accept ☐     Reject ☐

Reason for Rejection:
_____
_____

Signature _____ Title _____ Dat _____

Comments _____

_____

_____

# EXHIBIT A- Pricing Page for Enterprise Registration and Licensing System (ERLS)

### CONTRACT ITEMS

| Item # | Item | Vendor Description | Unit of Measure | Quantity | Cost | Ref |
|---|---|---|---|---|---|---|
| 1 | Setup/Configuration/Installation | 7-Month Implementation of Cenuity Charities, Notary, Trademarks and Misc. Licensing including Analysis, Configuration, Testing and Rollout (Includes $25,000 Cenuity Perpual Use License Fee - Due at contract signing) | Each | 1 | $996,128.00 | 5.4 |
| 2 | Historical Data Migration | Conversion and Migration of 9 disparate legacy data sources to Cenuity consolidated database | Each | 1 | $87,293.00 | 5.4.18 |
| 3 | System Training | Materials and up to 1 week of Classroom Training for WV Staff and Administrators at WVSOS central facility | Each | 1 | $32,735.00 | 5.4.22 |
| 4 | First Year Maintenance and Support/Warranty/Hosting | 5 Months of Support and Hosting starting at Go-Live | Each | 1 | $120,635.00 | Apdx. 1 |

### CONTRACT SERVICES

| Item # | Item | Vendor Description | Unit of Measure | Quantity | Cost | Ref |
|---|---|---|---|---|---|---|
| 5 | Seconrd Year Maintenance and Support/Warranty/Hosting | 12 Months of Support and Hosting | Each | 1 | $165,000.00 | Apdx. 1 |
| 6 | Third Year Maintenance and Support/Warranty/Hosting | 12 Months of Support and Hosting | Each | 1 | $125,000.00 | Apdx. 1 |
| 7 | Fourth Year Maintenance and Support/Warranty/Hosting | 12 Months of Support and Hosting | Each | 1 | $125,000.00 | Apdx. 1 |
| | **Total Bid Amount (1+2+3+4+5+6+7) =** | | | | $1,651,791.00 | |

Contract will be evaluated on all lines but **only awarded on first year**.
Renewal options for years 2, 3, and 4 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. Vendor should not alter pricing page and should fill out pricing page as is. The addition of alterations to the pricing page and/or addition of commodities other than those listed on the pricing page online or as an attachment will result in disqualification of bid submittal.

PCC Technology Inc.