Icon Software Corporation

Response to:

The Texas Office of Court Administration

Requisition 212-20-0385 Offer for a Statewide Electronic Filing, Document Access, Redaction, and Forms Assembly System (eFileTexas 2.0)

Contact:
Marty Hahn
mhahn@iconsoftware.net | 800-428-4855

3453 LAWRENCEVILLE-SUWANEE RD., SUITE A, SUWANEE, GEORGIA 30024

Table of Contents

Section 5. Offer Response

5.1 Cover Letter

A cover letter must be provided on the Offeror's corporate letterhead and be signed and dated by an authorized representative of the company. The cover letter must additionally include the name, address, phone, and email for the Offeror's primary contact for this offer.

Offeror must provide a summary of its offer that highlights the key points and explains how the offered Solution and approach provides the best value in meeting the needs of the State.

The summary must additionally describe why the Solution described in the offer is important to the Offeror's organization, and why the Offeror is best qualified to implement and operate eFileTexas 2.0.

The cover letter is limited to two (2) pages.

Icon has included the Cover Letter on the following page.

3453 Lawrenceville-Suwanee Rd., Suite A, Suwanee, Georgia 30024

June 16, 2020

Attn: Paula Garner

Re: RFO for a Statewide Electronic Filing, Document Access, Redaction, and Forms Assembly System (eFileTexas 2.0)

Dear Ms. Garner:

Thank you for considering Icon Software Corporation in Texas Office of Court Administration's (OCA) selection process for a statewide cloud-based electronic filing, document access, redaction, and forms assembly solution. On the pages to follow you will find ICON's response to the task set forth by the RFO, which outlines how ICON can best meet the prerequisites of the OCA with a commercial off-the-shelf solution.

Established in 1984, Icon has 35 years of experience developing and implementing software and services to government. This provides our customers with a highly experienced and knowledgeable staff to help improve efficiencies and streamline workflows within the OCA. Our solution leverages this experience and high configurability to meet the requirements outlined in the RFO.

Marty Hahn, President and CEO of Icon Software Corporation, is the person responsible for submitting this RFP and is authorized to act on behalf of the corporation. All correspondence should be sent to:

Marty Hahn, President
Icon Software Corporation
3453 Lawrenceville-Suwanee Rd, Suite A
Suwanee, Georgia 30024

Other means of contact are:

800-428-4855 Office
800-428-9037 Fax
mhahn@iconsoftware.net

The Cost Workbook has been included as a separate attachment per Section 2.2 Offer Format of the RFO.

Sincerely,

Marty Hahn
President

5.2 Organizational Profile, Experience and Capabilities

5.2.1 Offeror Services Overview

Identify all systems, products, and/or services included in the offer, along with any third-party product(s) or services that will be provided. If multiple vendors will be providing any system/service component item, identify each vendor separately. Vendors of products licensed by the Offeror that are a significant part of the Solution are to be included, even if those vendors are not actively participating in the project. Add additional lines as needed.

Table 16: Offeror Services Overview

Vendor	Product / Service Provided
Icon Software Corporation	EZ-File efiling portal
Extract Systems	Redaction
Momix	Ad Hoc Reporting, Project Management
5wards	Project Management services to include: Discovery, Training, Documentation, Installation, and Development.
Cooper Consulting	Project Management services to include: Discovery, Training, Documentation, Installation, and Development.
Pioneer Technology Group	Project Management and Implementation Services

5.2.2 Organization Overview

For each vendor included in Section 5.2.1 above that is actively participating in the project, complete the following table to provide OCA with an overview of the vendor's organization. Duplicate the table as needed.

Table 17: Organization Overview

Information Requested	Response
Company Name	Icon Software Corporation
Address	3453 Lawrenceville-Suwanee Rd, Suite A, Suwanee, GA 30024
Telephone Number	800-428-4855
Website Address	www.iconsoftware.net
Parent Company	Government Brands, LLC
Subsidiaries or Affiliated Companies	N/A
Date Company Founded	First founded in 1984 as Hahn Data System. Incorporated under ICON in 1997.
Number of years Company has been providing the Product or Service specified in this RFO	35
Most recent three (3) Fiscal Years' revenue and net income in USD	Icon is a privately held company and does not publish financial information. Should Icon have the opportunity to progress through further stages of the State's RFO process, a meeting can be set up to discuss financials with our Chief Financial Officer.
Company Ownership Structure *(e.g., public, private, joint venture)*	Private
Stock Exchange and Symbol *(if publicly traded)*	N/A
Locations in the U.S., and total number of staff in each location	Suwanee, GA – 12 employees
Information Requested	**Response**
Company Name	Extract Systems, LLC
Address	8517 Excelsior Dr, Suite 400, Madison, WI 53717
Telephone Number	608-821-6520
Website Address	www.extractsystems.com
Parent Company	N/A

Subsidiaries or Affiliated Companies	N/A
Date Company Founded	March 5, 1998
Number of years Company has been providing the Product or Service specified in this RFO	22
Most recent three (3) Fiscal Years' revenue and net income in USD	Extract believes the goal in requesting evidence of financial stability is to determine the company's strength and longevity. Extract has been in business since 1998. The company has hundreds of customers in government, commercial and healthcare settings. Revenue grew 17% in 2019 and the revised (considering corona virus) projection calls for a 24% growth rate in 2020. In another indication of our financial strength, Extract hired three people in March and April 2020. Lastly, Extract has committed, wealthy investors that are willing to provide banking references in order to assure the Texas Office of Administration of Extract's ability to continue its planned investment in technology and markets served. Please feel free to reach out to Extract's management team if any concerns remain unresolved.
Company Ownership Structure *(e.g., public, private, joint venture)*	LLC
Stock Exchange and Symbol *(if publicly traded)*	N/A
Locations in the U.S., and total number of staff in each location	Madison, WI – 20 employees
Information Requested	**Response**
Company Name	Cooper Consulting Company
Address	1705 Crossing PL, 101A, Austin, TX 78741
Telephone Number	512-527-1000
Website Address	www.cooperconsulting.com
Parent Company	N/A
Subsidiaries or Affiliated Companies	N/A
Date Company Founded	9/1994

Number of years Company has been providing the Product or Service specified in this RFO	26
Most recent three (3) Fiscal Years' revenue and net income in USD	Cooper Consulting is open to discussing and providing information on financial stability later in the RFO process.
Company Ownership Structure *(e.g., public, private, joint venture)*	S Corp 100%, owned and managed by Melynda Caudle, WOBE, WOSB, TX HUB
Stock Exchange and Symbol *(if publicly traded)*	N/A
Locations in the U.S., and total number of staff in each location	Austin, TX – 35-40 employees

Information Requested	**Response**
Company Name	5 Wards Group
Address	4261 East University, Suite 30-255, Prosper, TX 75078
Telephone Number	214-226-5205
Website Address	www.5wards.com
Parent Company	N/A
Subsidiaries or Affiliated Companies	N/A
Date Company Founded	5/12/2017
Number of years Company has been providing the Product or Service specified in this RFO	3 years under 5 Wards Group LLC, 24 years prior
Most recent three (3) Fiscal Years' revenue and net income in USD	5 Wards Group is open to discussing financial stability and providing financial information during later phases of the RFO.
Company Ownership Structure *(e.g., public, private, joint venture)*	Private/LLC-Angela Pena-Ward-51%/Rich Ward-49%, Certified Woman and Minority-owned
Stock Exchange and Symbol *(if publicly traded)*	N/A
Locations in the U.S., and total number of staff in each location	Dallas, Texas-14, Austin/San Antonio-4, Miami/Ft. Lauderdale-2, Milwuakee-1

Information Requested	Response
Company Name	Pioneer Technology Group
Address	1100 Central Park Dr, Suite 100, Sanford, FL 32771
Telephone Number	407-321-7434
Website Address	www.ptghome.com
Parent Company	Government Brands, LLC
Subsidiaries or Affiliated Companies	Pioneer Records Management, and WarrantNow
Date Company Founded	October, 2005
Number of years Company has been providing the Product or Service specified in this RFO	14
Most recent three (3) Fiscal Years' revenue and net income in USD	Pioneer is a privately held company and does not publish financial information. Should Pioneer have the opportunity to progress through further stages of the State's RFO process, a meeting can be set up to discuss financials with our Chief Financial Officer.
Company Ownership Structure *(e.g., public, private, joint venture)*	Private
Stock Exchange and Symbol *(if publicly traded)*	N/A
Locations in the U.S., and total number of staff in each location	Sanford, FL - 80
Information Requested	**Response**
Company Name	Momix
Address	15552 Fitzhugh Rd, Austin, TX
Telephone Number	888-752-5701
Website Address	www.momixsolutions.com
Parent Company	Government Brands, LLC

Subsidiaries or Affiliated Companies	N/A
Date Company Founded	2008
Number of years Company has been providing the Product or Service specified in this RFO	12
Most recent three (3) Fiscal Years' revenue and net income in USD	Momix is a privately held company and does not publish financial information. Should Momix have the opportunity to progress through further stages of the State's RFO process, a meeting can be set up to discuss financials with our Chief Financial Officer.
Company Ownership Structure (e.g., public, private, joint venture)	Private
Stock Exchange and Symbol (if publicly traded)	N/A
Locations in the U.S., and total number of staff in each location	Austin, TX- 2 , El Paso, TX-1, Dallas, TX-1, Las Vegas, NV- 1, Princeton, NJ-1, Ontario Canada, 2

5.2.3 Vision and Future Strategy

Provide details of your organization's long-term electronic filing, document management, forms assembly, and redaction technology strategy (responsive to this RFO), partnerships, three (3) to five (5) year technology roadmap, and key technology investments that your organization anticipates making to enhance your relevant products and service offerings. Additionally, describe your organization's current and long-term commitment to the use of nationally recognized standards such as the ECF standard.

The electronic filing product vision is for all courts to expand the footprint of their office globally to file, secure, assist, search, and retrieve data and documents leveraging modern technology.

We live in a lean and agile product development world, and we may not know what features and enhancements that we will build to achieve our objectives. We know current problems to work on, but the result will be a continual process of discovery and iterations. Items that are outside of current planned sprints, which are usually 3 to 5 weeks, are generally not placed on a roadmap with definitive dates. Our roadmap is not a planned set of features. We create our roadmap based on the problems the customer is attempting to resolve. This method begins as a problem statement so we can reach a solution with our customers. We prefer this method over a feature-based roadmap that is constantly revised. We focus on value to our customer and gaining a competitive advantage with each objective and result gained.

We are committed to our continued use of ECF standards, as well as the adoption of any *future releases while maintaining backwards compatibility using a "to be determined" timeframe.*

Service offerings and enhancements to the relevant products that include, but are not limited to, the electronic filing portal, document management, redaction and document assembly will vary widely based on customer identified problems that they seek to resolve. We work on performance and UX enhancements ongoing. These are usually in parallel to current development sprints.

5.2.4 Relevant Corporate Experience

Using the table below as a template, Offeror must provide references for at least four (4) projects that showcase the Offeror's experience in defining, developing, and deploying a solution similar to OCA's business and technical requirements as described in this RFO and the scope and complexity of the eFileTexas 2.0 Solution for the Texas Courts.

Offeror is also to identify roles on any included reference projects that were performed by Key Implementation Services Team Members (as listed in Table 19) proposed for eFileTexas 2.0. In describing the reference projects, the Offeror must refer to the Offeror's experience as well as applicable involvement of any subcontractors.

References where the Offeror has previously worked with the identified partner or subcontractor should be noted and are preferred. Additionally, provide a description of how the corporate relationship with your offered partners or subcontractors has contributed to the success of past projects.

Table 18: Corporate Reference Template

Information Requested	Response
Reference Organization Name	State of Maine – Registers of Probate
Reference Organization Primary Function	Probate Court Case Management for Estates, Protected Persons, Adoptions, and Change of Name
Reference Contact Name and Title	Miles Hunt, Esq. Maine Probate Rules Committee Chair
Reference Contact Telephone Number	207-772-4100 x. 410
Reference Contact Email	mils@willsandtrusts.com
Project Name	State of Maine ez-filing
Number of Courts and Users Involved	16 counties 500+ users
Contract Size (approximate total cost)	Contract payment is $5 per registered filer per filing
Description of the Solution Implemented / Scope of Services Provided	Electronic filing portal, e-service and filer activity notices, document management/purchase and case searching, and Court Case Management. End to end EFSP-EFM-CMS
Project Start Date	May 2012 Non-mandatory e-Filing January 2016 Mandatory e-Filing

Project End Date (Planned, Actual)	Entered support mode in August 2014. Change orders for documents and interviews have occurred throughout the life of the contract
Implementation Challenges and How Offeror Addressed these Challenges	Largest challenge was to provide interview-based document assembly to guide pro se filers. We developed a library of interviews using Knockout.js JavaScript to create documents and formed the e-Filing envelope with data obtained from the interviews and the image object to deliver to the court. How to design flow for easy modification when forms are changed by state mandate.
Offeror's Project Manager	Marty Hahn – Project Manager – Met with stakeholders, helped guide development of interview questions and logic based on answers.
Offeror's proposed eFileTexas 2.0 Key Implementation Team Members and their Roles on this Project, including subcontractors / partners	Richard Watts – Lead Developer oversee all developers tasked with working on sections of the project. Alissa Ivey – Implementation Lead and Trainer oversee implementation team members as assigned Tony Holt – Systems and DBA tasked with application and database management
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	There were no subcontractors on this project

Information Requested	Response
Reference Organization Name	State of Georgia – Criminal Justice E-Filing Project
Reference Organization Primary Function	Criminal E-Filing for accusations, indictments, motions, and no bill items from the prosecutor, revocations from State Probation, real-time filing disposition filing to Georgia Crime Information Center
Reference Contact Name and Title	Jim Pingel, URL Integration (now Mission Critical Partners) Project Manager for CJEP
Reference Contact Telephone Number	608-628-1558
Reference Contact Email	Jim.Pingel@urlintegration.com
Project Name	State of Georgia Criminal Justice E-fIling Project
Number of Courts and Users Involved	90 counties
Contract Size (approximate total cost)	40k per county brought into production (3.6M value)
Description of the Solution Implemented / Scope of Services Provided	Electronic filing portal, e-service and filer activity notices, document management, web service communications to all state agencies including the Prosecuting Attorneys Council, State probation, Department of Corrections, GBI-GCIC, and all Superior and State Court using CMS
Project Start Date	June 2017 Pilot County
Project End Date (Planned, Actual)	August 2018 Production

Implementation Challenges and How Offeror Addressed these Challenges	Largest challenge was leveraging the state mandated service bus through the Georgia Technology Authority. All previous direct web service communications with other vendor applications had to be routed via the unified service bus.
Offeror's Project Manager	Marty Hahn – Project Manager – Met with stakeholders and contracted project manager for State of Georgia CJEP project.
Offeror's proposed eFileTexas 2.0 Key Implementation Team Members and their Roles on this Project, including subcontractors / partners	Richard Watts – Lead Developer oversee all developers tasked with working on sections of the project.
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	There were no subcontractors on this project

Information Requested	Response
Reference Organization Name	Charleston County Probate Court
Reference Organization Primary Function	Probate of Estates, Conservatorships, Guardianships, Trusts, Drug Court, and Commitments/Mental Health
Reference Contact Name and Title	Tina Homer
Reference Contact Telephone Number	843-958-5190
Reference Contact Email	thomer@charlestoncounty.org
Project Name	Charles County E-Filing
Number of Courts and Users Involved	1 Court 100+ users
Contract Size (approximate total cost)	$7 per filing fee basis contract
Description of the Solution Implemented / Scope of Services Provided	Electronic filing portal, e-service and filer activity notices, document management.
Project Start Date	May 15, 2020
Project End Date (Planned, Actual)	June 8, 2020
Implementation Challenges and How Offeror Addressed these Challenges	Challenge was to get role-based security configured for the e-filing work queues based on case worker assignment that is performed at case initiation.
Offeror's Project Manager	Marty Hahn – Project Manager – Virtual meetings with stakeholders.

Offeror's proposed eFileTexas 2.0 Key Implementation Team Members and their Roles on this Project, including subcontractors / partners	Richard Watts – Lead Developer oversee all developers tasked with working on sections of the project. Kari Magnussen – Lead implementation to configure roles and filing options
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	There were no subcontractors on this project

Information Requested	Response
Reference Organization Name	Montgomery AL Probate Court
Reference Organization Primary Function	Probate of Estates, Conservatorships, Guardianships, Trusts, change of Name, and Commitments/Mental Health
Reference Contact Name and Title	O.J. Jackson, Chief Clerk
Reference Contact Telephone Number	334-832-1247
Reference Contact Email	octaviusJackson@mc-ala.org
Project Name	Montgomery County E-Filing
Number of Courts and Users Involved	1 Court 100+ users
Contract Size (approximate total cost)	$7 per filing fee basis contract
Description of the Solution Implemented / Scope of Services Provided	Electronic filing portal, e-service and filer activity notices, document management.
Project Start Date	April 15, 2020
Project End Date (Planned, Actual)	June 1, 2020
Implementation Challenges and How Offeror Addressed these Challenges	Challenge was getting IT to open necessary ports and implement a PDF to TIFF convertor that is required to send the PDF files to their microfilm queue that uses legacy format TIFF Group-4
Offeror's Project Manager	Tony Holt – Project Manager – Virtual meetings with stakeholders and IT Department.
Offeror's proposed eFileTexas 2.0 Key Implementation Team Members and their Roles on this Project, including subcontractors / partners	Richard Watts – Lead Developer oversee all developers tasked with working on sections of the project. Tony Holt – Implementation
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	There were no subcontractors on this project

5.2.5 Recent Contracts

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

If no recent contracts have been entered into, state "None."

We have implemented 18 additional criminal and juvenile e-filing locations in the State of Georgia that are contract addendums to existing Case Management Contracts. Of these 18 courts, 5 of these courts will be offering our civil e-filing portal to provide customers multiple EFSP choices, and 2 will be moving to our e-filing solution exclusively for all courts and case types.

5.2.6 Contract Terminations

Disclose any contract terminations prior to contract completion for any reason during the past five (5) years. Describe the circumstances, and provide the customer names, addresses, and telephone numbers. If none, state "None."

None

5.2.7 Business Disputes and Outstanding Litigation

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

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

None

5.2.8 Mergers and Acquisitions

Disclose any announced or planned sale, merger, or acquisition of any participating organization or its products relevant to the scope of eFileTexas 2.0. Disclose any mergers or acquisitions that have occurred during the past eighteen (18) months and describe the impact to the organization or products.

We were acquired by Government Brands, LLC on March 20, 2019. The impact to the organization has been very favorable. The ability to leverage parent company resources, and to provide additional software and services with our sister companies in Government Brands has provided excellent growth opportunities. It has allowed our customers to receive additional services as well.

5.2.9 Conflicts of Interest

Identify any potential conflicts of interest with OCA or jurisdictions by any organization proposed to participate in this project.

None

5.2.10 Financial Solvency and Insurance Information

Offeror shall provide most recent annual financial report or year-end financial statements, and proof of liability insurance and workers compensation coverage.

Icon is a privately held company and does not publish financial information. Should Icon have the opportunity to progress through further stages of the State's RFO process, a meeting can be set up to discuss financials with our Chief Financial Officer.

5.3 Implementation Services Personnel

Offeror must demonstrate that it can provide the project team necessary to transition from eFileTexas to eFileTexas 2.0. To demonstrate the strength of your project team, provide the following information:

- an organization chart of the proposed project team;
- a project staffing roster with roles/responsibilities for each proposed key project team member;
- résumés for each listed project team member, including subcontractors, and a description of the specific roles and responsibilities that will be assigned to each subcontractor;
- description of your organization's experience working with personnel from any partner or subcontractor included on the project team; and
- description of how your organization will handle the replacement of key project staff if such a replacement is needed, and your ability to quickly bring in additional resources if required.

Please note that OCA reserves the right to interview and approve or deny any proposed project team members or subcontractors.

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

5.3.1 Key Implementation Services Team Members

Key Implementation Services Team Members include the Project Manager, Project Executive / Director, Technical Lead, and Implementation Lead. Offeror may insert additional rows to identify other roles that the Offeror considers to be a Key Implementation Services Team Member.

Table 19: Key Implementation Services Team Members

Information Requested	Name of Individual and Roles / Responsibilities
Project Manager	Richard Parsons, Derek Long, Levi Owens, Norman Caryl The Project manager collaborates with leadership, the program team, and Stakeholders for execution of the project and reporting, develops project scope and objectives with relevant stakeholders, ensures that the project is implemented, and deliverables completed on time.

	Other responsibilities include, but are not limited to: • Tracks progress and reports on milestones • Organize training sessions • Preforms data analytics • Establish rules for data usage and security requirements • Ensures backup and disaster recovery plans are in place
Project Executive / Director	Marty Hahn The Executive Director will direct and integrate the activities of all project operations, ensure that it remains cohesive and consistent to the goal and plan. Additionally, the ED will establish policy, strategy, and objectives of the project. Other responsibilities include, but are not limited to: • Participate and oversee development, implementation, and maintenance • Develop tracking and evaluation goals and objectives • Manage the implementation team • Oversee the working relationship between project leadership, OCA, business and operational Stakeholders and any constituents involved in the eFileTexas project. • Oversee budget and business plan as it relates to the project and perform cost analysis periodically.
Technical Lead	Pete Zambri Working with the Project Manager, the Technical Lead is responsible for the planning, coordination, requirements gathering, business analysis, specifications development, project planning, project monitoring, and project status reporting and system quality. This position is responsible for full project life cycle from definition to close out. Responsibilities include, but are not limited to: • Working with a Project Manager to evaluate and confirm OCA needs • To provide solutions and set client expectations • Collect, understand, and document requirements and translating those into functional design specifications. • System specifications design, technical review, testing, implementation, post implementation, risk analysis • Reporting project status. • Provides day-to-day project coordination, responsive planning, and implementation of multiple projects across all product lines. • Work with development to review requirements and specifications for technical design, including capabilities, limitations, and performance
Implementation Lead	Matt Cain The implementation Lead responsibilities include, but are not limited to:

	• Manage testing and training of all software iterations with OCA • Manage product configuration and documentation • Provide client sign off on information throughout the project's iterations • Provide DevOps as required to confirm project escalations effective response and resolutions. • Ongoing maintenance • Customer support requests
Implementation Specialist	Dan Maret, Mike Daly, Ann Collins The Implementation Specialist will be assigned tasks including, but not limited to: • Perform all system configuration. • Document internal processes. • Test all software with the OCA • Customer support requests • Ongoing maintenance
Trainer and Implementation Support	Alissa Ivey, Dennis Cabas, Adrianne Wiggins, Gerald Matics, The Trainer and Implementation Support responsibilities include: • Plan and organize all training sessions • Perform all training sessions. • Draft and maintain all training documentation. • Draft and maintain all product documentation. • Aid in configuring system.

5.3.2 Key Implementation Services Team Member Experience Overview

Offerors must provide an overview of the experience of each Key Implementation Services Team Member identified above (repeat the table below for each key team member). Identify any certifications that may be relevant to the delivery of the services requested in this RFO. If no relevant certifications are held, state “None” as part of the offer.

Table 20: Key Implementation Services Team Member Experience

Information Requested	Response
Team Member Name:	Richard Parsons
Team Member Role:	Project Manager
Team Member Years of Experience in Role:	30
Summary Qualifications and Experience of Team Member:	Dedicated project manager with 30 years of experience working with the public sector and corporate fields.

Team Member Professional Certification(s):	PMP
Information Requested	Response
Team Member Name:	Derek Long
Team Member Role:	Project Manager
Team Member Years of Experience in Role:	4
Summary Qualifications and Experience of Team Member:	Responsible for the deployment of software for multiple courthouses and organizing the project team resources.
Team Member Professional Certification(s):	PMP
Information Requested	Response
Team Member Name:	Marty Hahn
Team Member Role:	Project Executive/Director
Team Member Years of Experience in Role:	35
Summary Qualifications and Experience of Team Member:	Marty has been working with courts since 1984. He has over thirty-six years of experience providing software solutions and support to court systems
Team Member Professional Certification(s):	N/A
Information Requested	Response
Team Member Name:	Pete Zambri
Team Member Role:	Technical Lead
Team Member Years of Experience in Role:	11

Summary Qualifications and Experience of Team Member:	Pete has been with ICON for eleven (11) years. Pete was a technical support team member with Icon Software for more than nine (9) years, and has spent the most recent two (2) years serving in an Account Management position to ensure customer satisfaction.
Team Member Professional Certification(s):	N/A
Information Requested	Response
Team Member Name:	Matt Cain
Team Member Role:	Implementation Lead
Team Member Years of Experience in Role:	7
Summary Qualifications and Experience of Team Member:	Matt is responsible for leading and facilitating all court implementations for Pioneer. He oversees all aspects of the project including managing the resources responsible.
Team Member Professional Certification(s):	N/A
Information Requested	Response
Team Member Name:	Dan Maret
Team Member Role:	Implementation Specialist
Team Member Years of Experience in Role:	2
Summary Qualifications and Experience of Team Member:	While Dan is a relatively new member of the Pioneer team, he has been extremely important in over 8 enterprise software installations.
Team Member Professional Certification(s):	N/A
Information Requested	Response
Team Member Name:	Mike Daly

Team Member Role:	Implementation Specialist
Team Member Years of Experience in Role:	6
Summary Qualifications and Experience of Team Member:	Mike has been implementing systems from a technical background for 6 years. He understands the processes and workflows needed for an implementation to be successful. He has additional reports and forms and development experience.
Team Member Professional Certification(s):	N/A
Information Requested	Response
Team Member Name:	Alissa Ivey
Team Member Role:	Trainer and Implementation Support
Team Member Years of Experience in Role:	13
Summary Qualifications and Experience of Team Member:	Alissa has been the lead support technician training new customers, upgrading current customers from our previous software releases, and performs as our technical writer to provide documentation for application software and training classes.
Team Member Professional Certification(s):	N/A
Information Requested	Response
Team Member Name:	Ann Collins
Team Member Role:	Implementation Specialist
Team Member Years of Experience in Role:	19
Summary Qualifications and Experience of Team Member:	Ann has been providing project management services since 2001. She completed Software Project Management Certification program with the University of Texas at Austin Software Quality Institute and served on the curriculum review board for the next sequence.

Team Member Professional Certification(s):	N/A
Information Requested	Response
Team Member Name:	Dennis Cabas
Team Member Role:	Trainer and Implementation Support
Team Member Years of Experience in Role:	12
Summary Qualifications and Experience of Team Member:	Dennis has a B.A in English with a focus in professional/technical writing. He has over a decade of experience in local and remote desktop support and training.
Team Member Professional Certification(s):	N/A
Information Requested	Response
Team Member Name:	Adrianne Wiggins
Team Member Role:	Trainer and Implementation Support
Team Member Years of Experience in Role:	10
Summary Qualifications and Experience of Team Member:	More than 10 years of experience with a wide range of knowledge in computer operating systems, software applications, and hardware. Exceptional customer service and communication skills; consistently conveying competence and care for all end users. Successful in both team and self-directed settings to accomplish day to day task, or larger, long term projects and major deployments. Strong analytical and problem-solving skills.
Team Member Professional Certification(s):	N/A
Information Requested	Response
Team Member Name:	Dawn Lester

Team Member Role:	Trainer and Implementation Support
Team Member Years of Experience in Role:	26
Summary Qualifications and Experience of Team Member:	Over 20 years experience in delivering in depth technical training, software and hardware implementation programs in a corporate or government environment.
Team Member Professional Certification(s):	See Resume
Information Requested	Response
Team Member Name:	Gerald Matics
Team Member Role:	Trainer and Implementation Support
Team Member Years of Experience in Role:	22
Summary Qualifications and Experience of Team Member:	A BA in English and 20+ years experience in communications with documentation.
Team Member Professional Certification(s):	N/A
Information Requested	Response
Team Member Name:	Levi Owens
Team Member Role:	Project Manager
Team Member Years of Experience in Role:	26
Summary Qualifications and Experience of Team Member:	A seasoned, accomplished information technology professional who specializes in high-profile, large-scale, business-critical projects. Levi gained 26 years of progressively responsible IT experience and have spent the last 21 years as a dedicated Project Manager and Business Analyst, planning, designing, implementing, and supporting successful technology projects.
Team Member Professional Certification(s):	PMP

Information Requested	Response
Team Member Name:	Norman Caryl
Team Member Role:	Project Manager
Team Member Years of Experience in Role:	30
Summary Qualifications and Experience of Team Member:	For over 30 years Mr. Caryl has specialized in conceiving, planning, organizing, and executing business systems projects for enterprise IT organizations. In this capacity he manages development projects, performs services including business systems analysis, requirements definition facilitation, application specifications, and comparative product evaluations.
Team Member Professional Certification(s):	PMP-I and PMP-II from LBMS SEI CMM, ISO Standards, Six Sigma, PlayScript

5.3.3 Key Implementation Services Team Member Résumés

Offerors must provide résumés for Key Implementation Services Team Members identified in the table in the preceding section. Structure of the résumés is left to the discretion of the Offeror but should not exceed three (3) pages per résumé.

Information provided in each résumé should clearly identify the following:

- name of the team member;
- team member's experience in years, by employer, in roles related to the services being requested as part of this RFO;
- team member's responsibilities on each project or with each employer;
- details of accomplishments achieved on each project and/or with each employer;
- education; and
- professional certifications, memberships, and affiliations.

Resumes have been included on the following pages.

Richard Parsons, PMP

Project Manager / Organizational Change Management Specialist

Dedicated project manager with 30 Years' experience working for organizations known world-wide as the leaders of their respective industries and with exposure to clients, customers, and partners in a wide variety of public sector and corporate fields.

• ROI Project Management • Organizational Change Specialist •
• Business Process Assessment and Reengineering • Leadership Development •
• Corporate Training and Education • Oracle Functional Analyst •
• Organizational and Personnel Development • Prosci® Certified Change Practitioner •
• Oracle EBS • PeopleSoft ERP • Hyperion • Deltek •

Personal Info

Phone
971.373.5348

E-mail
rparsons@momixsolutions.com

LinkedIn
https://www.linkedin.com/in/richardlparsons/

Skills

Life Cycle Project Management Expertise	●●●●●
Enterprise Application Implementation / Application Implementation Methodology – AIM	●●●●●
Requirements Analysis	●●●●●
Process Mapping	●●●●●
Process Reengineering	●●●●●
Data Conversion Support	●●●●●
HCM, Financials, Procure to Pay	●●●●●
Training & Development	●●●●●
Self Service Applications	●●●●●

SS

Experience

2007.04 - present

Project Management & Organizational Change Specialist

Mo'mix Solutions

Large Scale Software Implementation Management (PMI certified PMP)
Oracle and PeopleSoft Financial and HR ERP, Hyperion Budgeting, Deltek ERP

- Organizational Change Management, Communications, and Training
- Systems Effectiveness, Process Streamlining, and Business Process Reengineering
- Provide project management consulting and financial analysis with methodology based on a combination of strategic planning and hands-on tactical implementation.
- Facilitate classic organizational development solutions coupled with creative methods of delivery. (Prosci certified change practitioner)
- Provide executive and corporate consulting in the areas of strategy and tactics, negotiation, mentoring, meeting facilitation, customer service, team building and group dynamics.

2004.08 - 2007.04

Senior Consultant - Project Management

Ciber, Inc

Project Manager and Change Management Specialist
• Project Manager for Global HRMS Implementation.
• Strategic and tactical oversight of daily activities related to rollout of HR and OAB applications for multiple business groups.
• Provided consulting on development and delivery of change management solutions related to corporate, management, and individual employee adoption of change related to system implementation.
• Facilitated leadership and stakeholder workshops and training as needed.
• Assessed organizational readiness and organizational impact.
• Guided development and execution of communications and training strategies.

2000.10 - 2004.08

Senior Specialist

Jet Propulsion Laboratory - Cal Tech / JPL NASA

• Developed and delivered change management solutions, training materials, and events for Oracle 11i implementation upgrade effort and ancillary supporting systems and tools.
• Duties included business process assessment and development, meeting facilitation and team building workshops, and coordination of training materials and components including instructor led training documentation and computer based tutorials for Oracle 11i financial applications and Discoverer.

1994.09 - 2000.10

Senior Manager IT / National Education Manager / Mgr Contractor Resources / Software Systems Senior Trainer

Oracle Corporation

Senior Manager IT
• Conducted business practice evaluation of global internal implementation of Oracle Applications and business solutions for Oracle Education customer training business units.
• Developed training initiatives and documentation for user community change management efforts.
• Duties included business process development and coordination of international standards and practices.

January 1999 - March 2000 Mississauga, Ontario, Canada
National Education Manager

Client Engagements

2018.09 - present
PM/OCM - **SSL Robotics LLC** - Deltek CostPoint Financials, Time & Attendance, Materials & Manufacturing

2016.03 - 2016.05
PM - **Oregon Metro** - PeopleSoft Procurement Assessment

2015.12 - 2016.03
PM - **PPS** - **Portland Public Schools** - PeopleSoft Adv Ben, TAM

2014.09 - 2015.12
PM/OCM - **Cowlitz County Washington** - PeopleSoft - 7.5 to 9.2 Upgrade and Implementation - FIN & HCM

2014
PM - **King County Washington** - Hyperion Budgeting - Optimization Assessment

2013
OCM - **NREL - National Renewable Energy Laboratory** - Oracle R12 Optimization

2013
OCM - **Williamson County Texas** - Oracle R12 Upgrade / Implementation - FIN, HCM, and Proprietary Reporting System

2013
PM/OCM - **Ramsey County Minnesota** - Hyperion Budgeting Implementation

2012
OCM - TWU - **Texas Womans University** - Oracle EBS R12 Upgrade/Implementation

2011 - 2012
PM/OCM - **City of Albuquerque** - Hyperion Budgeting Implementation

2010 - 2011
OCM - **NTTA - North Texas Tollway Authority** - PeopleSoft 9.2 Upgrade/Implementation Financials & Hyperion Budgeting

2009
PM/OCM - **WCSPCA** - Executive Director Operations

2007 - 2008
PM/OCM - **Watson Wyatt (Towers Watson)** - Oracle EBS Implementation - HCM & Benefits

• Managed $10M Application Education Delivery Operations.
• Duties included personnel maintenance, budgeting, event sourcing, instructor quality and utilization enhancement, and internal and external business development.
• Developed and facilitated initiatives that increased instructor utilization by 49%.

May 1997 – January 1999 Redwood Shores, CA
Manager Contractor Resources and Quality Initiatives
• Developed, negotiated, and facilitated corporate and individual relationships with third party education delivery partners that resulted in recognition of an additional $7M profit to U.S. Education line of business during tenure.
• Duties included ongoing corporate partnership assessment, facilitation of skill set enhancement, event sourcing, and resource time and expense approval.

September 1994 – May 1997 Redwood Shores, CA
Software Systems Senior Trainer
• Delivered training on multiple Oracle Education courses for Oracle Applications. Taught courses covering Financial and Supply Chain topics.
• Acted as subject matter expert for Oracle Order Entry products.

1987.08 - 1994.09

Resort Operations Manager

Walt Disney World Corporation
Customer Service and Operations Management
• Evaluated and developed training criteria and classes for Disney Resorts Division. Developed internal labor tracking systems and maintained responsibility for P&L of Front Office/Guest Services.
• Managed daily operations at four different Disney Resort properties and was responsible for employee development for up to 950 cast members.
• Directed front office and customer service staff.

Education

Oklahoma State University, Business

Certificates

PMP - Project Management Professional   Project Management Institute

Prosci® Certified Change Practitioner

Personnel Development / Individual and Team Facilitation

Extended DISC

Certified Facilitator
Formula based, individual and team assessment(s) which provides information to assist in making cognizant decisions about how and when to modify behavior while interacting with others. Created by Willian Moulton Marston almost 100 years ago. The Extended DISC model is based on the foundations of a theory of human behavior by Carl Gustav Jung and increases self-awareness and a better understanding of other people.

True Colors

Certified Facilitator
A refined version of the popular Myers-Briggs Type Indicator and is utilized to understand the behaviors and motivations of others relative to our own personalities to help mitigate potential conflict by learning to recognize personality differences and characteristics. This tool creates a shorthand for understanding the talents that all parties bring to the team.

Volunteer Work

WestsideThanksgiving.org Board Member since 2002
We have over three decades of tradition serving the Santa Monica community a wonderful free sit-down Thanksgiving dinner. We also provide free haircuts, blankets, clothing, hygiene kits, medical, optical, and dental services, vaccination, a resource fair, and a children's carnival. Each year more than 3000 guests are served through the generous participation of over 2000 volunteers.

Derek Long

Pioneer
TECHNOLOGY GROUP
1100 Central Park Drive Suite 100
Sanford, Florida 32771
(407) 321 7434

WORK EXPERIENCE

Pioneer Technology Group **Sanford, FL**
Project Manager 2016-Present

- Worked with project management team to document requirements and build ETL schedule
- Server configuration, database configuration, and load testing for counties VM environments
- Performed iterative conversion cycles with remediation performed in between cycles
- Successfully installed software for multiple court houses working with county IT

Veristream **Orlando, FL**
Saas Administrator 2016 – 2016

- Deliver Software as a Service to customers while being the first point of contact for all post-implementation customer needs.
- Work closely with clients to remotely resolve software issues at customer locations worldwide.
- Create and maintain documentation on new processes and technologies within our environment

Orange County Clerk of Courts **Orlando,FL**
Technical Support Analyst Sr 2012-2016

- First point of contact in diagnosing and resolving hardware, software, and network issues for internal clients.
- Helped plan and provide technical support for all software go-live projects.
- Documented all issues and generated reports detailing common problems and error trends.

City Electric Supply **Orlando, FL**
Support Technician 2011-2012

- Provided systems administration support for Windows systems including server and workstation upgrades, user account setup and security administration.
- Performed routine backups and archival of files to assist with disaster recovery.

United States Marine Corps **San Diego, CA**
Aviation Information Systems Specialist

- Responsible for the deployment of tactical local area networks to any location of operation.
- Maintained and repaired Marine Corps aircraft mission planning software and aircraft maintenance systems.
- Performed maintenance on multi-functional information processing systems and peripheral equipment.

EDUCATION

Seminole State College **Lake Mary, FL**
Bachelor of Science in Information SystemsTechnology
Professional Certifications
CCNA, Network+, Security+, A+

Marty Hahn

WORK EXPERIENCE

Icon Software Corporation, ***1984 - Present***

Chief Executive Officer

- He has over thirty-six years of experience providing software solutions and support to court systems that include, but are not limited to, Superior, State, Circuit, Family, Municipal, Traffic, Magistrate, Juvenile and Probate Courts
- He was the original developer of all software for Icon Software Corporation. A development staff has taken over these duties, and Marty now concentrates on management of Icon Software's development staff and sales staff and provides project management for many implementations.
- Marty has been successfully automating and managing projects of all sizes from one user in a small county, to a statewide solution in the State of Maine, to unlimited users in a single agency.

EDUCATION

University of Georgia

Bachelor of Science in Computer Science, 1983

Pete Zambri

WORK EXPERIENCE

Icon Software Corporation, 2009 - Present

Account Manager

- Pete was a technical support team member with Icon Software for more than nine (9) years, and has spent the most recent two (2) years serving in an Account Management position to ensure customer satisfaction.
- Pete remains involved through customer implementation to ensure the defined business processes are documented and expectations are properly implemented.
- Manage entire portfolio of customers of about 250 offices.
- Coordinates and managages implemenations projects for new customers
- Transitions customers to the support team following Go Live

EDUCATION

University of Georgia

Bachelor of Science in Business, 2006

Matthew Cain

1100 Central Park Drive Suite 100
Sanford, Florida 32771
(407) 321 7434

WORK EXPERIENCE

Pioneer Technology Group — **Sanford, FL**

Implementation Manager-Court Division — 2014-Present

- Responsible for leading and facilitating the implementation of Pioneer Technology Group's court case management system (Benchmark) and jury system (Jurymark) in every step of the process including: client workflow discovery, software testing, ticket management, implementation, training, ongoing support and customer service.
- Managed projects using a combination of Agile and SCRUM methods to allow for control and flexibility, while ensuring project milestones and goals are met.
- Acted as the lead person of contact in Benchmark installs for counties with populations ranging from 100,000 to 700,000
- Experience using various database platforms including Microsoft SQL and Crystal Reports.

Software Support Specialist — 2013-2014

- Interacted with clients on a daily basis with activities ranging from initial client software setup and performing county software assessments, to providing on-site support and process improvement.

University of Central Florida — **Orlando, FL**

Computer Lab Instructor — 2012 – 2014

- Instructed the CGS2100 and CGS1060 courses at UCF. Taught over 200 students a range of computer and business applications each semester including: HTML, Microsoft Word, Microsoft Excel, Microsoft Access and Microsoft PowerPoint.

UCF Orientation Team-Campus Orientation Leader

- Lead, advised and facilitated incoming students to the University of Central Florida. Aided in transitioning over 20,000 new students to UCF

EDUCATION

University of Central Florida — **Orlando,FL**

Bachelor of Science in Information Technology — 2014

Technical Competencies

- **Databases:** 3 years TSQL experience
- **Networking:** TCP/IP, FTP, WLAN, Ethernet
- **Hardware:** PC, peripherals and troubleshooting
- **Software:** MS Office
- **Languages:** HTML5, CSS, XML
- **Virtual Machines:** VMWare

Daniel Maret

1100 Central Park Drive Suite 100
Sanford, Florida 32771
(407) 321 7434

WORK EXPERIENCE

Pioneer Technology Group **Sanford, FL**
Implementation Specialist
2018 – Present

- Ensuring the completion of projects in an accurate and timely manner.
- Keeping clients informed with the project statuses.
- Provide training during software implementation .
- Documentation of processes during onsite visits.
- Daily client interaction for initial client software setup and performing county software assessments.
- Provide on-site support and process improvement.

A Small Orange LLC **Durham, NC**
Technical Projects & Abuse Manager
2013-2016

- Oversaw multiple teams of employees responsible for data migration and customer service tasks.
- Determined budgets and necessary resources and requirements during the execution of large-scale migration projects, including the migration of server equipment to a new data center.
- Collaborated with internal/external contractors during projects involving equipment and data consolidation.
- Worked as the liaison between the Customer Service and Technology Departments to relay pertinent updates.

Career Track, Cont. **Jupiter, FL**
General Manager
2009-2010

- Facilitated the rollout and testing of new software and hardware upgrades.
- Developed strategies for improving internal monitoring systems.
- Initiated quality assurance efforts to maintain customer satisfaction.

Technical Support
2007-2009

- Answered customer support and sales requests via phone, email, and online chats.
- Assisted customers with new order set-ups and technical resolutions.
- Monitored and addressed technical infrastructure issues.

EDUCATION

Seminole State College
Sanford, FL
Bachelors of Science in Business Administration
2018

Technologies

- <u>*Software:*</u> Microsoft Word, Excel, PowerPoint, MySQL, LAMP, Apache
- <u>*Operating Systems:*</u> Linux, Windows, OSX, Chrome OS, Android, Ubuntu, Debian, CentOS
- <u>*Programming Languages:*</u> PHP, Bash, HTML, JavaScript, CSS

Michael Daly

Pioneer Technology Group
1100 Central Park Drive Suite 100
Sanford, Florida 32771
(407) 321 7434

WORK EXPERIENCE

Pioneer Technology Group **Sanford, FL**
Project Management/Integration/Reports Developer 2014 – Present

- Deployment of court management software through discovery of previous used court systems and translation of old workflow into new management systems.
- Workshop, training, and discovery with clerks, judges, and court administrators.
- Development/integration of data exports between county and state government systems via XML/Delimited files as well as other third party vendors.
- Management of web services used to directly communicate sensitive credit card/court information using Windows Communication Foundation (WCF) \Conversion of data from prior software to provide historical records in newly deployed software.
- Troubleshooting network issues in unique server configurations varying from different county/state regulations and preferences.
- Administration of database backups, maintenance scripts, replication, indexing, schema updates and various other required maintenance.
- Expanded support department into a more diverse role by proactively participating in projects and development and establishing it as a norm.

HostDime International Webhosting **Orlando, FL**
Server Analyst I 2013 – 2014

- Collaborated on maintenance scripts for assessment of server health/configuration.
- Published documentation in Codex for commonly encountered issues.
- Handled escalated issues from other level one techs.

EDUCATION

University of Central Florida **Orlando, FL**
Bachelor of Science in Interpersonal and Organizational Communication 2013

Alissa Ivey

WORK EXPERIENCE

Icon Software Corporation, 2006 - Present
Lead Trainer, Implementation Support

- Creates and maintains user manuals and documentation across all Icon products.
- Alissa has been a technical support team member with Icon Software for more than thirteen (13) years.
- Alissa has been the lead support technician training new customers, upgrading current customers from our previous software releases, and performs as our technical writer to provide documentation for application software and training classes.
- Pete remains involved through customer implementation to ensure the defined business processes are documented and expectations are properly implemented.

EDUCATION

Perimieter College
Bachelor of Science in Business Administration, 2005
Gwinnett Technical Institute
Applied Science, 2019

ADRIANNE **WIGGINS**

Customer-focused, Senior Service Desk Technician with more than 10 years of experience with a wide range of knowledge in computer operating systems, software applications, and hardware. Exceptional customer service and communication skills; consistently conveying competence and care for all end users. Successful in both team and self-directed settings to accomplish day to day task, or larger, long term projects and major deployments. Strong analytical and problem-solving skills. Demonstrated ability to effectively multitask and perform with a sense of urgency for rapid issue resolution.

EXPERIENCE

OCTOBER 2019- CURRENT
SENIOR PRODUCTION SUPPORT ANALYST
SOFTRAMS, LLC – WOODLAWN, MD

Help Desk team stands responsible for high quality and technically skilled verbal and email communications with the system client, Centers for Medicare and Medicaid (CMS), system users, Insurance Companies (both medical and drug) nationwide, pharmaceutical associations, medical liaisons, and beneficiary advocacy groups supporting both major communities. Monitors and responds to emails; manages the delivery of broadcast emails to ACOMS users; and ensures the disposition of trouble tickets related to the ACOMS.

MARCH 2018 – OCTOBER 2019
SENIOR SERVICE DESK TECHNICIAN
MARYLAND JUDICIARY – JUDICIAL INFORMATION SYSTEMS, ANNAPOLIS, MD

Responsible for providing technical and customer support – via phone, remote tools or on-site, to over 6,000 Judiciary Users, 60,000 Attorneys and other Judiciary Partners. Support of all IT Equipment (Laptops, Desktops, PCs, Printers, MFDs, Mobile Devices) and Software at Circuit and District Court Locations, as well as the Administrative Office of the Courts Locations across the State of Maryland. Provide training to end users as required. Work independent and in team environments on day to day tasks, as well as major projects and deployments. Troubleshoot and repair PCs, laptops, printers, and other various hardware/equipment. Imaging and installation of desktop equipment using Judiciary imaging processes and applications. Use of ServiceNow as an incident management system to address and document issues, problems and changes, and for asset management purposes. Supported and maintained hardware using VMware solutions – Including Mirage and AirWatch, as well as the Microsoft Deployment Toolkit (MDT) for imaging and remote support. Software support and troubleshooting for Judiciary in-house applications as well as COTS applications and programs. Mobile device support for Android and iOS devices. Network diagnostics & troubleshooting to ensure device connectivity to the Judiciary network. Assisted users with password resets, and account troubleshooting for all Judiciary systems. Authored documentation, including training guides, and SOPs published to both SharePoint and the ServiceNow Knowledgebase. Utilized Active Directory to troubleshoot account issues, update account information and join users and devices to the domain. Daily tasks in project management, leading teams and planning resources on large scale deployments and upgrades. Creation and management of project schedules to ensure deadlines are met and resources are tracked. Research solutions to lingering open IT issues, providing details for resolution, and recommendations to management as requested. Daily ownership of all open tickets and issues to ensure the customer receives what they need to continue to work without interruption or extensive delays.

Key Achievements:

- Performed rapid hardware and software upgrades and installations for multiple Judiciary initiatives, including MDEC as well major operating system upgrades (Windows 7 & Windows 10).
- First Call Resolution of more than 80 multi-tier user calls daily.
- Mastery of internal Judiciary software and applications to author technical guides and documentation.

AUGUST 2017 – MARCH 2018
ITSM SPECIALIST II
SOCIAL SECURITY ADMINSTRATION, WOODLAWN, MD

Performed IT system administration and maintenance on multiple production systems. Monitored systems for proper operation, and ensured appropriate preventive actions and remediation necessary for issues that arise. Maintained configuration and log files for weekly review and analysis. Responsible for providing installation and troubleshooting for all customer hardware and software. Regularly reviewed hardware and software issues to recommend updates to procedures, products or processes accordingly. Performed testing and quality assurance of approved procedures, often identifying alternative solutions and corrective actions as necessary.

Key Achievements:

- Provided multi-tier support for various types of IT equipment, software, application packages, and peripherals including mobile devices for customers in various physical and remote locations.
- Ensured a timely process through which problems are identified and remediated ensuring a controlled environment. This included the problem recognition, research, isolation, resolution, and follow-up steps.
- Demonstrated an ability to work well in fast-paced environment, often multi-tasking various competing priorities, and the necessity to change. Provided ongoing kudos for being a team player always making a commitment to the team approach.

NOVEMBER 2016 – AUGUST 2017
CUSTOMER SERVICE ANALYST I
NORTHROP GRUMMAN, WOODLAWN, MD

Responsible for performing day to day Helpdesk functions, including the processing of electronic inquiries received from Centers for Medicare and Medicaid (CMS) programs. Used Remedy as an electronic ticketing system to manage and document electronic inquiries. Performed follow-up, completion, and daily management of open aging electronic ticket inquires. Researched and analyzed data and take appropriate action needed to complete tasks. Handled issues for the HBOSC Team. Participated in weekly management meetings to report on the tracking of issues, and to present reports based on the analysis requested of ongoing topics.

Key Achievements:

- Provided customized information technology solutions with an emphasis on customer service and to make sure that our clients needed only one call, for any of their technology needs.

- Knowledge of the data management systems and gaining the responsibility for providing analytics from these systems and presenting it to management on a weekly basis.

NOVEMBER 2007 – NOVEMBER 2016
MEDICAL CLAIMS ADJUSTER / CUSTOMER SERVICE REPRESENTATIVE II
CARE FIRST BLUE CROSS BLUE SHIELD, OWINGS MILLS, MD

Worked with customers to document electronic medical claims actions by completing forms, reports, logs, and records. Responsible for the resolution of electronic medical claims by approving or denying documentation; calculating benefit due; initiating payment or composing denial letter. Accurately and routinely reviewed data quality in electronic health records. Maintained quality customer service by following customer service practices; responding to customer inquiries. Lead the Medical Records Cases Team for case validity and efficient processing throughout its lifecycle. Performed special projects as assigned for adjusting claims. Assisted in implementation of new workflow procedures for process improvement. Implemented knowledge of health insurance products, contract provisions, and governmental mandates to educate members and provide customer service. Interpreted contractual language to members for clarification of benefits. Received inbound calls via telephone and paper correspondence for member and provider inquires. Performed case analysis for aged inventory, and working to reduce inventory numbers for the department with case resolution. Analyzed medical records received from providers or members for supporting documentation for claims adjudication. Configured software to ensure connectivity to external internet applications and servers. Assisted users with the troubleshooting and resolution of any hardware or software set up and configuration.

Key Achievements:

- Ensured legal compliance by following company policies, procedures, guidelines, as well as state and federal insurance regulations.

- Mastery of Centers for Medicare and Medicaid Services (CMS) guidelines for the systematic updating and analyzing of provider payment reduction files, FACETS claims adjudication processes, and Affordable Care Act (ACA) Guidelines and Mandates.

EDUCATION

2016
AS, HEALTH INFORMATICS AND INFORMATION TECHNOLOGY
COMMUNITY COLLEGE OF BALTIMORE COUNTY, CATONSVILLE, MD
Phi Theta Kappa Honor Society

2015 - PRESENT
American Health Information Management Association (AHIMA)

DAWN A. LESTER

OBJECTIVE

Technical Training Lead / Manager … focused on managing and delivering the highest quality technical training, software and hardware implementation programs in a corporate or government environment, ensuring a successful return on investment.

SUMMARY OF QUALIFICATIONS

Washington, DC March 2008-Present
Associate - Booz Allen Hamilton … Leading the design and development of a web-based training project for the e-Learning branch of the National Geospatial-Intelligence Agency's College. Analyzing content, collaborating with subject matter experts (SMEs), creating learning objectives, and designing and developing client deliverables. Leading and supporting the development and delivery of instructor-led and web-based training projects and programs for the National Reconnaissance Office's Office of Security and Counterintelligence (OS&CI). Soliciting and coordinating efforts across several branches; Analyzing existing courseware, streamlining it to produce more concise and effective training solutions; Representing the OS&CI Training Branch to the NRO University Training Advisory Board, gathering critical data and providing training requirements analysis; Assisting her fellow team members in the standardization of training processes. Technologies and Systems include: Captivate 3, Captivate 4, Moodle LMS, SharePoint. ***Security Clearance – Top Secret SCI – CI***

Washington, DC 2007-2008
Senior Management Consultant – Blackstone Technology Group … Responsible for curriculum and content development, creating training for information sharing and knowledge management in multiple training delivery platforms (instructor-led, live and recorded Web Casts, and web based trainings) in support of critical missions. Technologies and Systems include: Homeland Security Information Network (HSIN), SharePoint, Adobe Captivate 3, GoToMeeting (Webinar). ***Security Clearance – Secret.***

International 2003- 2007
Deployment Manager / Senior Systems Analyst – Harris Corporation … managing implementation deployments of systems (hardware & software applications installations), training, and support of Department of State - Consular Affairs Computer Systems Division; Performing as point of contact between implementation/installation team, corporate management, and Consular staff communication including setting agendas, logistical information, and trip deliverables; Leading introductory, interim, and exit meetings with the client; Managing and providing technical training and implementation/installation of hardware and software at US Embassies and Consulates for Non-Immigrant Visas, Immigrant Visas, and American Citizen Service applications (Modernization); Performing troubleshooting, problem analyses, and assessments; Providing workflow recommendations as to methods and approaches in the use of new hardware and software after deployment to the end user; Responsible for documenting all aspects of the onsite hardware and software implementation for Department of State; Piloting of new software and hardware as well as developing the training during and post-pilot. Delegating installation roles to team members, as well as ensuring progress of the deployment milestones as a whole; Setting of expectations and goals with individual team members and evaluating performance; Mentoring new staff members through practice training sessions and evaluations; Successfully met Congressional deadline for Biometrics deployment at DOS in conjunction with DHS and US Visit; Technologies and Systems include: Biometrics (finger printing/IDENT), Facial Recognition (Biometrics), NIV (Non Immigrant Visa), IVO (Immigrant Visa Overseas), ACS (American Citizen Services), ACRS (Automated Cash Register System), Windows 2000, 2003, and XP. ***Security Clearance – Secret.***

Nationwide - United States 1999 – 2003
Consultant / Trainer / Instructor / Assessor (see ORGANIZATIONS below) … delivering a unique combination of technical expertise and exceptional presentation skills to classrooms and job sites Nationwide. Real world experiences offered clients insightful information not found in most training sessions. Target client audiences included: Employees (all levels), Supervisors, Managers, and Executives; Technologies and Systems include: ENFORCE/IDENT (biometrics) Secondary Processing Module, Microsoft Windows (all editions), Microsoft Exchange, Microsoft Office Suite (all editions), Microsoft Outlook, Microsoft Internet Explorer, Info Pak Suite (Publisher, Web Architect, Glossary, Install/Config., Help Launchpad), Lotus Notes R5, Novell, RIM/Motient Wireless Messaging, Learning Management System (LMS), Explosive Detection System: In Vision CTX 2500/5500 (Combination Cat Scan / X-Ray); Explosive Trace Detection devices: Barringer Ionscan 400A, Barringer Ionscan 400B, Ion Track Itemiser-W, and Thermo Detection EGIS II. Consultant duties also included staff management and administration.

Washington, DC 1994 – 1998
Regional Coordinator – American Management Association … Managing the daily operations of seminars, assisting speakers and instructors with registration of attendees, and collection / reporting of evaluations; Providing customer service and sales of seminar related materials; Consistently rating within the top five sales people nationwide; Maintaining current knowledge of legal aspects of management, human resources, OSHA, and ADA. Establishing and maintaining a positive relationship with hotel staffs throughout the region.

COMPETENCIES

Management – Software and Hardware implementation and deployment logistics; Pre-deployment coordination and communication with the client, onsite managing of deployment teams for installation, training and support of hardware and software implementations, on-site client interface ensuring high customer satisfaction, meeting post-deployment deliverables, mentoring of new employees, successful counseling of sensitive issues with employees, strong knowledge of the legal aspects of human resource management and employee relations.

Consulting & Training - Maintained annual Consular Affairs application certification; Dendrite Certified Trainer, Stay-in-Front Certified Trainer; CCT Certified Trainer; Rapid fire Needs Analysis, Training documentation and design (curriculum development and lesson / exercise planning), Delivery (instructor led end-user training, mentoring, OJT, floor support, classroom based), and evaluation, documentation, and assessment phases; Expert level Instructor Led Training of all editions of Microsoft Windows, Microsoft Office Suite, Microsoft Outlook, and multiple Proprietary Software Systems (data base platforms); facilitation of Train-the-Trainer; large scale training rollouts.

Learning – Adult Learning Styles and Theories; attendance of several Train-the-Trainers resulting in multiple certifications, legal aspects of human resources, management, OSHA, and the ADA.

ORGANIZATIONS & CLIENTS

National Geospatial-Intelligence Agency – Washington, DC – April 2009 - Present
National Reconnaissance Office –Washington, DC March 2008 – April 2009
Department of State/Consular Affairs – Deployment Manager / Senior Systems Analyst, International 2003- 2007
Department of Homeland Security – Content Development Lead (HSIN) Washington, DC 2007-2008; Instructional Systems Designer (Customs and Border Patrol), Nationwide 2003
RWD Technologies – Product Specialist, Baltimore, MD, 2003
Novartis Pharmaceuticals (Global Knowledge) - Technical Trainer / Curriculum developer, Nationwide, 2003
TSA - Transportation Security Administration (AIS), OJT Assessor, Nationwide, 2002 - 2003
DIAGEO (Guinness UDV), Technical Trainer / Curriculum developer, Nationwide, 2002
Solvay Pharmaceuticals (CCT), Technical Trainer, Nationwide, 2002
Sepracor Pharmaceuticals (Stay-in-Front), Technical Trainer, Nationwide, 2002
Federal Bureau Of Investigation (CACI / The Engle Group), Technical Trainer, Nationwide, 2002
Pfizer Pharmaceuticals (Dendrite Int'l), Technical Trainer, Nationwide, 2001
Executive Offices of the U.S. Attorneys and Immigration & Naturalization Service (SI International/LPSS), Technical Trainer, Nationwide, 1999 - 2001
American Management Association, Regional Coordinator, Washington, DC/Baltimore, 1994 – 1998

TECHNICAL SKILLS

Certified: Consular Affairs Systems, Biometrics, Dendrite Certified Trainer, Stay-in-Front Certified Trainer; CCT Certified Trainer; Expert Instructor Led Training of Proprietary Applications; Expert Instructor Led Training of - Sales Force Automation; Microsoft Office 97 & 2000 (Expert Instructor Led Training of: Word, Excel, Access, Power Point, Outlook); Internet Explorer, Expert Instructor Led Training of Windows 95, 98, NT, XP; PDAs; VPN; BlackBerry, RIM/Motient Wireless Messaging; Learning Management System (LMS); Explosive Detection System: In Vision CTX 2500/5500 (Combination Cat Scan / X-Ray); Explosive Trace Detection devices: Barringer Ionscan 400A, Barringer Ionscan 400B, Ion Track Itemiser-W, and Thermo Detection EGIS II, ENFORCE/IDENT Secondary Processing Module; Adobe Captivate 3, Adobe Captivate 4.

EDUCATION & ACHIEVEMENTS

Current Security Clearance: *Top Secret SCI*

Graduate:	Bachelor of Fine Arts, Magna Cum Laude – GPA 3.97, Loretto Heights College – Denver, CO
Member:	American Society of Trainers and Developers (ASTD), Screen Actors Guild (SAG), Actors Equity Association (AEA)
Certifications:	Department of State - Consular Affairs Systems: NIV (Non Immigrant Visa), IVO (Immigrant Visa Overseas), ACS (American Citizen Services), and ACRS (Automated Cash Register System) Dendrite Certified Trainer, Dendrite International, Morristown, New Jersey Stay-in-Front Certified Trainer, Stay-in-Front, Inc., Fairfield, New Jersey CCT Certified Trainer, CCT Solutions, Atlanta, Georgia On-the-Job Training Assessment, Advanced Interactive Systems, Seattle, Washington Explosive Detection System Trainer (In Vision CTX 2500/5500), Advanced Interactive Systems, Seattle, Washington Explosive Trace Detection devices Trainer: Barringer Ionscan 400A, Barringer Ionscan 400B, Ion Track Itemiser-W, and Thermo Detection EGIS II, Advanced Interactive Systems, Seattle, Washington
Awards:	2006 – Voted Outstanding Team Member by fellow team members (Harris Corporation - Department of State / Consular Affairs Contract)
Finisher:	2007 Marine Corps Marathon, 2008 Marine Corps Marathon

Gerald C. Matics

Summary

Corporate communicator with expertise in internal communications. Background spans industries ranging from insurance and financial services to pharmaceuticals. Known for writing to motivate, inform, and inspire target audiences to impact behavior during times of critical change.

Areas of Expertise

- Strategic communication planning and execution
- Speechwriting
- Presentation development
- Presentation coaching
- Internal/external communication media development (print and electronic newsletters, brochures, web-based media)

Selected Experience

Wolters Kluwer, King of Prussia, PA (*via Aptude Consulting, Inc.*) **March 2020 – April 2020**
Senior Copywriter/Internal Communications Specialist

Designed, drafted and produced a variety of communications and creative materials, including internal announcements, video scripts, executive talking points, newsletters, banners, signage, presentations, invitations and other related projects — all in a high-quality and timely manner. Drafted and published relevant content on corporate intranet site. Supported internal social media campaigns by creating strong visual content.

- Collaborated with enterprise executives and managers to communicate essential information to employees throughout the organization

DuPont Chemical Company, Wilmington, DE (*via SGS Consulting*) **August 2019–January 2020**
Communications Consultant

Created and implemented communications and change management plan for pilot technology replacement program, ensuring all employees were prepared for change. Provided complex communications counsel to business/function leadership. Wrote emails, news articles and web content to support change initiative. Ensured adherence to corporate communications policies and standards.

- Provided functional guidance to less-senior communications personnel

Unisys Corporation, Blue Bell, PA (*via Indotronix International Corp.*) **January 2019–May 2019**
Communications/PR Specialist

Wrote and edited blogs, newsletters and articles for online and print publications of the nation's premier global information technology company. Prepared and distributed weekly news summary email to all associates. Managed all-hands meetings and town halls for company executives. Scheduled and coordinated casual associate meetings with senior leadership.

- Recognized individually by company CEO for topical messages delivered to its 22,000 employees

UnitedHealth Group, Horsham, PA **July 2011 – September 2018**
Senior Marketing Copywriter/Editor

Wrote copy for, edited and managed development of digital components for flagship website. Oversaw development of state-specific marketing materials to comply with market and state requirements. Coordinated workflow through all creative services and regulatory affairs functions using enterprise content management software in order to maximize speed to market.

- Launched interdepartmental newsletter covering topics of interest to Regulatory Affairs and Creative Services departments in order to foster a sense of team and boost employee engagement
- Pioneered new eNewsletter copywriting process, creating content for e-mails to up to 3 million insured members

GERALD C. MATICS
(610) 812-2624

SELECTED EXPERIENCE (CONTINUED)

LexisNexis Group, King of Prussia, PA — **FEBRUARY 2003 – NOVEMBER 2010**
Editor

Wrote and edited legal publications for attorneys, insurance professionals, and executives, reporting breaking legal news in tort law. Covered high-level hearings, including U.S. Supreme Court oral arguments. Contributed to company blog and social networks. Wrote and read for award-winning legal news podcast. Served as legal news expert for subscribers and news media.

- Selected to American Lawyer Media's Legal Opinion Leaders panel, advising on litigation trends and news coverage
- Led successful effort to gain access to critical legal documents for use by all litigation report editors in order to attain more complete coverage of difficult-to-access jurisdictions

Wyeth Pharmaceuticals, Collegeville, PA (*via Kelly IT Services*) — **JULY 2001 – FEBRUARY 2003**
Proofreader/Editor

Proofread and edited all package inserts and labeling materials for grammatical consistency, logic, and visual elements to ensure client produced high-quality packaging components and fixed errors.

- Worked outside of role to write job aids and conduct training to assist desktop publishing employees with use of image comparators and other equipment

Richardson, Inc., Philadelphia, PA — **AUGUST 2000 – JULY 2001**
Instructional Design Consultant

Designed customized sales and leadership training programs for Fortune 500 clients in various industries, including pharmaceutical, hi-tech, financial, insurance, and others, targeted at improving effectiveness of employees and managers. Managed projects from concept through design and delivery for optimal quality control. Coordinated with relationship manager and senior management to ensure client satisfaction.

- Recognized by training manager at international shipping corporation for excellence in designing and developing targeted training to meet needs of employees in four foreign countries

State Farm Insurance Companies, Bloomington, IL — **JUNE 1998 – AUGUST 2000**
Communications Coordinator

Created and implemented strategic communication plans to ensure consistent corporate messages across audience segments. Supported department executives' communication needs by developing presentations, memos, speeches, broadcasts, and electronic and print publications. Advised internal clients on the best methods and media to convey their messages to more than 9,000 associates.

- Co-managed a team of ten communications professionals under the Y2K Program, which was instrumental in achieving total compliance
- Streamlined communications grid to determine best match of audiences, messages, and media in any situation, virtually eliminating duplicate messaging while aligning with corporate goals
- Served two terms on editorial board of the *State Farm Times*, company's employee and retiree newspaper, functioning as departmental liaison to ensure "best-foot-forward" representation

EDUCATION

Bachelor of Arts, English, Widener University, Chester, PA, graduated cum laude

CERTIFICATIONS AND LICENSES

Instructional I Certificate to teach English in secondary schools, issued by Commonwealth of Pennsylvania

J. Levi Owens

Professional Experience

Project Manager 2019 to 2020
Florida Department of Transportation (FDOT) Tallahassee, FL

Primary Duties: Provide Project Management, Business Analysis, and Application Support, collaborating with EDAT Team members in the iterative delivery of software solutions utilizing a Small Project Agile methodology and hybrid-SCRUM approach; serve as Scrum Master for two remediation projects rewriting classic ASP applications into .Net Cloud-based solutions; extensive business process and technical modeling and documentation; manage backlog, epics, features, user stories, and tasks in MS Azure DevOps; analyze, plan, track, and deliver required functionality, grouped and delivered in two-week Sprints and a Quarterly Release Cycle (QRC); support the EDAT Team goals within the QRC for rapid, Agile development and delivery of working software; adhere to and report on required Division of State Technology (DST) and Office of Information Technology (OIT) Project Management and Security guidelines, including formal Security Plans and Risk & Complexity Assessments; assist customers in preparing for and initiating requests through the Department's Technology Proposal Process (TPP); serve in both the Application Services Project Managers Group (PMG) and Business Analysts Group for collaboration, continuous assessment and improvement of methodologies, standardization, and achievement of Transportation Technology goals and objectives.

Business Solutions Architect 2019 to 2019
CJIS Group, LLC Tallahassee, FL

Primary Duties: Provide Project Management and Business Analysis in furtherance of Research Team prioritized strategic goals and tactical objectives; analyze and document business processes, workflows, reporting capabilities, information exchanges, communication methods, and current capabilities, while identifying risks, issues, and opportunities for improvement; evaluate and identify opportunities for innovative automation, streamlining, and business improvement to gain efficiencies, reduce redundancy, and effort; utilize SQL scripting software to create custom database queries and reports for business intelligence, performance management, and pinpointing opportunities for improvement; facilitate collaboration to implement enhancements, reengineered processes and workflows, new or redesigned reports, and automation tools, including User Acceptance Testing (UAT) and measurement of Key Performance Indicators (KPI); evaluate hardware and software, recommending opportunities to standardize, reduce redundancy, and implement industry-standard solutions.

Project Manager 2018 to 2018
Florida Court Clerks & Comptrollers (FCCC) Tallahassee, FL

Primary Duties: The CLERC application was a legacy product servicing all of Florida's Child Support operations and monetary transactions; the scope of this project was to build a new, centrally-hosted, web-based application to serve all 67 counties; directed a team of matrixed resources including Subject Matter Experts (SME) and information technology experts in further elaborating on the approved Business Case to produce the Project Charter and initiate the project; developed and published project artifacts, as required by the Project Management Office (PMO), clearly defining a three-phased approach for delivery of the software solution; led the team in Requirements Definition, including business and system requirements, database modeling, workflow modeling, and all relevant activities; the compiled information allowed governance entities to make informed decisions on how best to construct and implement the new solution, including a possible build vs. buy evaluation.

Project Manager 2014 to 2018
Florida Department of Health (FDOH) Tallahassee, FL

Primary Duties: Plan and manage all aspects of the project, leading a matrixed team in the development of a state-of-the-art business intelligence solution cataloging Drinking Water sources and Wastewater methods for the more than 6,000,000 built parcels in the state; develop and maintain standard project artifacts including, Charter, Work Breakdown Structure (WBS), Schedule, Project Management Plan, Budget/Spend Plan, Risk Assessment & Mitigation Plan, Communications Management Plan, Requirements Traceability Matrices, and similar artifacts; direct the team in gathering and processing data for geospatial analysis and preparing Geographic Information System (GIS) maps and statistical reporting products for each of Florida's 67 counties; work with each County Health Department to complete User Acceptance Testing (UAT) for delivered mapping products; conduct SWOT Analysis (strengths, weaknesses, opportunities, and threats) to drive project goals and prioritize work; serve as the project's primary resource for Data Gathering activities with more than 7,000 utility service providers across the state; develop business processes to facilitate the identification of data sources and contacts, gathering and maintaining data sets, data processing, geoprocessing, mapping, quality management, database design, data integration, and summary reporting; collaborate with the DOH Integration Team, implementing data submission methods and standards for the secure transmission of data sets from external sources; collaborate with team members to develop and deliver presentations and conduct various outreach and educational activities to a wide array of stakeholders; utilize MS Office products and SharePoint to develop, implement, and manage project artifacts and report regularly to executive management on project activities and performance metrics.

Project Manager 2013 to 2013
Florida Department of Agriculture and Consumer Services (FDOACS) Tallahassee, FL

Primary Duties: Plan and manage all aspects of the project, implementing a commercial off-the-shelf (COTS) solution providing Document Control, Records Management, and Training Management for business users in the Division's Food Lab, Chemical Residue Lab, and Food and Meat Inspections bureaus; develop and maintain standard project artifacts including, Charter, Work Breakdown Structure (WBS), Schedule, Project Management Plan, Budget/Spend Plan, Risk Assessment & Mitigation Plan, Communications Management Plan, Requirements Traceability Matrices, and similar artifacts; successfully planned, tested, and deployed a state of the art management system, including training users and migrating legacy data, to maintain accreditation by the International Standards Organization (ISO); presented with significant project constraints, our team worked diligently to deliver the software product and to meet the project goals, well within the allotted timeframe and budget.

Project Manager 2012 to 2013
Florida Court Clerks & Comptrollers (FCCC) Tallahassee, FL

Plan, execute, and control the implementation of the Florida Courts E-Filing Portal for the electronic filing of court documents in all trial and appellate courts throughout the state.

Primary Duties: Manage a portfolio of 4 projects and supervise a team of systems and business analysts for Civil E-Filing, Criminal E-Filing, Appellate E-Filing, and E-Service of filed documents; serve as project liaison to the E-Filing Authority Board of Directors, the Florida Courts Technology Commission, and the FCCC Board of Directors, working closely with each to successfully achieve mandatory E-Filing through the new Portal, in compliance with standards and timelines set forth by the Florida Supreme Court; develop and maintain standard project artifacts including, Charter, Work Breakdown Structure (WBS), Schedule, Project Management Plan, Budget/Spend Plan, Risk Assessment & Mitigation Plan, Communications Management Plan, Requirements Traceability Matrices, and similar artifacts; coordinate project work through matrixed resources, including other business and technical teams within the organization, 3rd party software vendors, and staff in all 67 Clerk's offices, all 20 circuit State Attorney and Public Defender offices, the Office of State Courts Administration, and the Florida Supreme Court; served as the primary point of contact for all project-related activities for executive leadership, policy-making entities, and technical support staff; presented project details and fielded questions from a joint legislative committee, assessing progress and evaluating future statutory amendments; delivered training and orientation to end user Clerks' staff, attorneys and paralegals, judges, and other stakeholders throughout the state; led the team in achieving the goal of making Florida the first state in the nation with a fully functioning online portal and mandatory E-Filing, with a clear path towards a paperless courts system.

Project Manager & Business Analyst 2008 to 2011
Independent Consultant (self-employed) Tallahassee, FL

Florida Division of Emergency Management (FDEM) *2011 to 2011*
Led a team of business analysts, technical leads, and business unit Subject Matter Experts (SME)

to elicit and define business, system, and supplemental requirements, prepare design specifications, evaluate solutions, and develop Web Governance policies and procedures to construct and deploy a new public-facing website and content management solution for the agency's highly-visible web presence.

Various Public Entity Clients *2009 to 2011*
Provide IT project management and business analysis services to Fire Rescue, Emergency Medical Services (EMS), and municipal clients in Florida; directed and assisted with the implementation of projects with varying size and scope.

ZOLL Data Systems, Inc. *2008 to 2009*
Provide IT project management and business analysis services to a subsidiary of ZOLL Medical Corporation managing the transition of their public safety clients to new software and business processes;

Project Manager 2005 to 2008
Florida Department of Health (FDOH) Tallahassee, FL
Provide project management and business analysis services to the Bureau of Emergency Medical Services (EMS) and to the Office of Trauma for multiple project initiatives; this engagement was highlighted by the successful implementation of the new EMS Tracking and Reporting System (EMSTARS), a highly visible, web-based solution facilitating statewide data collection and reporting for all EMS providers in Florida.

Project Manager 2002 to 2005
DuPont Personal Protection McBee, SC
Led three large scale, multi-million-dollar projects for a DuPont manufacturing subsidiary

Project Manager & Business Analyst 2000 to 2002
Frigidaire Home Products Augusta, GA

Web Designer 2000 to 2000
International Paper, Inc. Savannah, GA

Project Manager & Business Analyst 1998 to 1999
Gulfstream Aerospace, Inc. Savannah, GA

EDUCATION

Project Management Professional (PMP)®
Project Management Institute
Status: In good standing
Earned: 24 Jun 2010
#1342331

- Identifying and Managing Project Risk: Essential Tools for Failure-Proofing Your Project (2019)
- Dealing with Resistance (2019)
- Program & Portfolio Management (2018)
- Courage in Project Management (2017)
- Requirements Meeting Facilitation Best Practices (2017)
- Strategies to Requirements Definition and Management Maturity (2016)
- Iterative Projects: Practical Tips and Best Practices for BA's (2016)
- Creative Thinking for Projects (2011)
- Principals of Project Management (2006)
- Supporting Microsoft Windows NT 4.0 Core Technologies # 922 (1998)
- Administering Microsoft Windows NT 4.0 #803 (1998)
- Networking Essentials #578 (1998)
- Installing & Configuring Windows NT Server 4.0 #685 (1998)
- Disaster Recovery Operations (1996)
- Tallahassee Community College (1990-1992)
- US Army Ranger Indoctrination Program (1986)
- US Army Airborne School (1986)

NORMAN RICHARD

CARYL INTERNATIONAL PROFESSIONAL SERVICES
PRINCIPAL CONSULTANCIES

PROJECT MANAGEMENT — Plans, organizes, schedules, executes, and controls projects to develop and implement new software products and services.

ORGANIZATIONAL CHANGE MANAGEMENT (OCM) and PROCESS MANAGEMENT — (Business Process Management; Technology Process Management; Organization Development) - Analyzes an organization's business processes, and work flows, and engineers structures, IT methodologies, and application interfaces that improve efficiency and productivity.

REQUIREMENTS DEFINITION / PRODUCT EVALUATION AND SYSTEMS PROCUREMENT — Facilitates projects to analyze and reach consensus across departments, defining future hardware, software, and business process requirements for the enterprise.

DETAIL OF ENGAGEMENTS SINCE 1993

DELL COMPUTER, INC. — (Hayward CA) As Project Manager of Incident Response and Remediation, I performed this engagement for Dell Computer, which was the Managed Services Provider for the end client (an international manufacturer of food processing machinery), that had suffered a crypto-virus (ransomware) attack by hackers from a foreign country. (12.01.2019 through 12.31.2019)

JUDICIAL COUNCIL OF CALIFORNIA — (San Francisco CA) As Project Manager / Senior Business System Analyst, provided high level project plan, and then discovered potential commercial software packages for the JCC to procure for the Intelligent Forms (smart forms) Workstream procurement initiative (05.12.19 through 07.24.19).

SECURITYNET™ GLOBAL LLC — (London UK) As Project Manager in Product Lifecycle Management (PLM) and Branding and Marketing (03.15.18 through 12.31.18) developed the project schedule and also personally managed the re-branding of the Dais Associates company as “SecurityNet™ Global LLC.”

NETAPP INCORPORATED — (Sunnyvale CA) Business Process Analyst / Documentation Specialist (02.21.17 through 07.31.17) Analyzed the existing NetApp process for request, acquisition, and deployment of new internal IT and business systems.

DAIS ASSOCIATES — (London UK) Project Manager (10.15.14 through 09.30.16) Managed the full system development life cycle during the design, application development, and product re- lease planning for the new SecurityNet software package to be generally available worldwide in late Autumn / early Winter of 2016.

STATE OF CALIFORNIA — (Sacramento CA) IT Compliance Auditor (07.01.14 through 08.31.14) Through the consulting branch of a leading legal firm.

CARYL INTERNATIONAL — (San Francisco CA) As President of Caryl International, a California Corporation, Mr. Caryl has directed several important initiatives during the period 7.1.11 through the present:
1.) As principal of CI Wealth Management (a wholly owned subsidiary of Caryl International) Mr. Caryl has continued to direct the policy for, and execution of, equity trades of the firm.
2.) Mr. Caryl continues to advise and counsel startup firms in the areas of business structure, policy and process.

3.) Norm Caryl is preparing his manuscript "Project and Process" for publication, which book elaborates both distinctions and similarities between these two endeavors.
4.) He is also guiding the Caryl International initiative to develop an iPad App for business process management, based on his many discoveries and inventions during his career in this field.

STANFORD UNIVERSITY — (Palo Alto CA) Business Requirements Analyst (11.28.10 - 6.31.11) Initiated, designed, and executed a successful requirements analysis and definition, product search, and solution evaluation for procurement of order to cash financial accounting in Stanford's shared research facilities.

CARYL INTERNATIONAL — (San Francisco CA) Business Consultant / Investment Manager - (07.21.08 - 04.19.10) During this period Norman Caryl has acted as consultant to startup companies, helping them to plan and structure their businesses, devise business plans, develop products and services, and attract investors.

XOJET — (San Carlos CA) Solutions Analyst — (02.15.08 - 05.15.08) Mr. Caryl managed a cross functional analysis and documentation of the business jet charter corporation's existing quote to cash (billing) systems and processes.

JUNIPER NETWORKS — (Sunnyvale CA) Business Systems Analyst - (01.15.07 - 04.30.07) For the corporation's product License Management Systems, Norm Caryl took charge of a project to document, diagram, and re-engineer both business and IT processes.

GOOD TECHNOLOGY — (Santa Clara CA) Project Manager - Business Process Engineer - Senior Business Analyst (08.01.06 - 10.30.06)

SYMANTEC — (Mountain View CA) Project Manager (03.11.06 - 06.19.06) Working for the Project Management Office (PMO) of Symantec's Sales / Marketing IT.

WELLS FARGO — (San Francisco CA) BCP Analyst / Project Planner / Requirements Analyst (10.01.05 - 01.15.06) Working with the Internet Services Group's Pre-Production Support department.

WELLS FARGO — (Remote, from San Bruno CA) Project Manager (06.15.05 - 09.19.05) As project manager reporting directly to the program manager.

BANK OF AMERICA — (Concord CA) Project Manager (02.17.04 - 05.30.04) As Technology Delivery Lead, Mr. Caryl successfully executed formal project management functions for developers, helping to roll out Deposit Technologies' complex, multi-phase California Liability Risk Scoring and Risk Decision Analysis system.

DAIS ASSOCIATES, LTD. — (San Francisco CA) Sales Representative (07.08.01 - present) At the request of the company, Caryl International became exclusive U. S. distributor of Dais commercial software products.

GAP INC. — (San Bruno CA) Project Manager (07.10.00 - 11.23.00) As Project Manager in the Process Management Solutions department of IT Systems Engineering, applied Gap's SDLC methodology to initiate and manage these CRM service delivery projects.

GAP INC. — (San Bruno CA) Business Analyst (06.12.00 - 07.15.00) Working with the Business Capabilities group in IT, facilitated an urgent project to plan, and write scripts for, the functional testing of new private label credit cards issued to customers of the Gap and Old Navy divisions of the enterprise.

UNITED AIRLINES — (San Francisco International Airport CA) Project Manager / Business Analyst (08.30.98 - 02.14.00) Working with the Applications Development group of the Information Systems Division.

IBM — (San Bruno CA) Product Usability Analyst (12.02.99 - 03.01.00; part time) Was a participant in the product usability study for IBM's ViaVoice speech recognition software.

ADECCO — (Redwood City CA) Business Analyst (05.01.98 - 07.31.98) Assisted the MIS organization in this large multi-national temporary personnel company to analyze, define, negotiate, set, and implement service level agreements for two service delivery groups: desktop support (corporate), and help desk (field offices).

GAP INC. — (San Bruno CA) Business Analyst / Project Manager (09.30.97 - 04.09.98) Working both with Directors and with staff from all information technology disciplines.

GAP INC. — (San Bruno CA) Business Analyst / Project Manager (02.17.97 - 09.09.97) Planned, managed, and facilitated the Data Transfer System Evaluation.

ORACLE — (Redwood Shores CA) Consulting Editor (11.30.96 - 01.31.97) As consulting editor, edited and wrote articles and interviews with industry leaders for the Oracle Alliance Journal (a glossy, four color magazine that Oracle distributed to over 30,000 partners and developers).

VISA USA — (Foster City CA) Business Systems Analyst (07.01.96 - 10.31.96) For VisaNet Service Management in Foster City, conducted an intensive, high visibility business systems analysis to determine the feasibility of releasing to all Visa member financial institutions a new internally developed product: clearing, settlement, and reconciliation via the Direct Access Service.

WELLS FARGO BANK — (San Francisco CA) Business Analyst (05.01.96 - 07.31.96) Worked with Wells Fargo's Telephone Banking System application developers and network designers to revise 400+ page external reference specification for WFB's Interactive Voice Response Unit applications.

WELLS FARGO BANK — (San Francisco CA) Business Process Analyst (03.01.95 - 10.15.95) Engineered the Production Deployment Process, working with 12 departments and more than 50 individuals.

INCYTE PHARMACEUTICALS — (Palo Alto CA) Technical Publications Consultant (08.01.94 - 02.28.95)

CLOROX — (Oakland CA) Business Analyst (06.01.94 - 07.31.94) Designed and executed a facilitated requirements analysis, requirements definition, and product evaluation.

WELLS FARGO BANK — (San Francisco CA) Business Analyst (11.01.93 - 05.30.94) Designed and executed the Enterprise Scheduler Assessment, a facilitated requirements analysis, requirement def- inition, and product evaluation.

STRAWBERRY TREE, INC. — (Santa Clara CA) Technical Publications Consultant (02.23.93 - 09.30.93) Designed, wrote, illustrated, and published manuals to accompany Strawberry Tree's laboratory data acquisition hardware and software products.

UNIVERSITY DEGREE Bachelor Of Arts, Creative Writing, With Honors. Northern Arizona University
CERTIFICATIONS: PMP-I and PMP-II from LBMS SEI CMM, ISO Standards, Six Sigma, PlayScript

5.4 Solution Overview

Offerors must provide an overview of the offered Solution and any differentiators that would be useful to OCA to understand during the evaluation of your offer. Response to this section is limited to five (5) pages (excluding responses to requirements in Attachment C: Requirement Response Workbook).

Our solution provides Texas OCA and filers with an easy to use step by step filing process to submit new cases, file against existing cases, and communicate with the courts. Each user has a dashboard driven filing queue to manage their cases during and after preparation, as well as the review and submission of cases and documents. Both quick filing and interview question and answer methods can be made available to the filers. From the filer dashboard, users can prepare filings, upload and scan documents, enter case data or submit ECF standard files. Filers may choose from any available jurisdiction to submit filings. Filings submitted to a jurisdiction will be held in a queue. Queues can be further subdivided into assigned work queues for processing. Filing type assignments, judge assigned to an existing case, and/or court users assigned to a case can all be used to prioritize and sort work queues of pending filings.

Filings can be managed fully by the EFM or can be passed to a CMS EFM to processing. Court clerks may choose to accept a filing as-is, modify content, or reject a filing with comments back to the filer for review and resubmission. Changes to a filing by the court that result in higher fees can be returned to the filer to approve and submit with the additional costs. All documents stamping is performed within the EFM by the jurisdiction clerk or administrator. If a filer has requested eService, registered filers on the case and any other party to which the filer has included an email address during the filing process will receive eService. Filers that wish to share documents through eDiscovery should route documents to other registered filers via their filing dashboard.

Standard documents that the filer might require during service can be made available based upon court rules. These include, but are not limited to, sheriff entry of service, judge's standing order, and citations.

When a filer prepares their filing to submit, the fees associated with the submission are presented on the checkout screen to confirm and submit. If a filer has a question regarding fees, they may choose to save their work to their dashboard and submit a question to the court. They may always return to their case and submit it at a later point in time.

Document assembly options are configurable using third party integration with HotDocs. HotDocs forms assembly integration with our filing solution allows filers, such as pro se that need help filing, to answer a series of questions where the forms are created and the metadata is captured and made available to the eFiling portal. We have a one-time filer option that is available that allows a pro se filer that most likely will never file again the ability to filer without creating an account. A one-time filer receives an access code and link that will allow them to track their case on a one-time filer dashboard.

Manual redaction can be made available to the filer and to the clerk processing the filing. The ability to redact and add notations are available. We can submit both the original and redacted document to the court if configured to do so with the redacted version being the visible document. The original can be available for review by the court to see what has been redacted if necessary.

All filed documents are available to search and view via filer dashboard or a public access as required. Filer dashboards can present cases that are associated with the filer's bar number to allow easy access to the filer's cases. Public access to all records with the ability to call a *web service on demand to display data and documents that the court has locally but might not be available at the portal. This requires API integration with CMS vendors to get case listings, get a case or get a document to render.*

Business rules, workflow, tasks, alerts and notifications are all options that can be configured within the EFM based on a case filing or document filing into an existing case. Our EFM can also serve as a full Case Management System, so the business rules are robust and the EFM is a multi-tenant database configuration to serve all courts and jurisdictions.

Notifications can also be configured to send a daily email with a summary of filer cases that have had activity and what they activity was. The dashboard can also be configured to filter cases with recent activity.

Signature options are part of the system. Signatures and dates may be applied to documents with a drag and drop of a signature image, signing on screen, typing signature to create a /s/ signature, and signature pad capture. Configuration to meet the OCA requirements would be required.

Data entry is validated and must fulfil all requirements for a user to continue to another section of the case filing or to submit the filing. Requirements will need to be defined during implementation.

Registered filers can be designated as attorneys, pro see, or an officer of the court. Registered filers can also be linked to a firm or another filer within the system. Officers of the court can be marked to file without fees. Judges can file orders into cases, visitors might file into Guardianships, and mental health facilities might file into the court, as well as many other court officials.

The EFM has role-based security and an administrator may assign user rights and administrative privileges to any clerk user. The EFM case manager has a full audit system of all transactions and processes with a robust reporting system.

We provide APIs that allow us to send and receive information. CMS vendors that need to send a document and data would call our secure endpoint, authenticate, and submit. This is the same endpoint would be used for filers to submit compliant ECF data.

External EFSPs that are processing individual or bulk filings would communicate with the state EFSP and EFM via API calls. A test environment would be configured to test, certify and onboard EFSPs into the environment.

Our system can integrate with any payment processor that provides their API. All fees are captured and stored for online real-time reporting access. Reports can all be generated for any range of dates and filters. Ad Hoc reporting features are available via the EFM.

Security enforcement can be done using methods including oAuth and SAML. Customization of security and enforcement is generally the normal to meet the demands of the application and users.

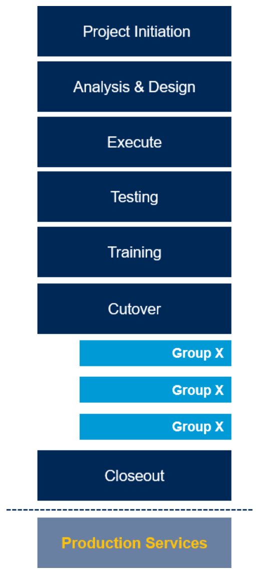
The solution configuration leverages High Availability SQL clustering and load balancing. This provides redundancies across multiple SQL servers.

5.4.1 Implementation Overview

The Offeror shall demonstrate a clear and concise understanding of the project and clarify any major risks or concerns. This section shall include a narrative overview of how the proposed Solution will be implemented to optimally meet and/or exceed the OCA's requirements.

The Contractor's proposed deployment approach and schedule shall generally align with the approach in Figure 6 below, which reflects the phases and deliverables outlined in this SOW.

Figure 6: eFileTexas 2.0 Major Deliverables (e.g., Phases)



Considering the solution overview, the implementation will be defined by the following:

a) As your vendor and one of the primary stakeholders, we will create our Needs Document based upon the requirement matrix.

b) We will utilize the Needs Document to avoid scope creep. During the implementation and training stage this will help define stages and avoid an all at once approach. The project management plan will provide task management, reporting, resource management, document management and collaboration.

c) We would expect that the implementation team for the OCA will include an IT lead for needs and concerns about configuration and integration with other systems, a set of end users at the administrator and clerk level for testing, and a training lead that acts as the point of contact.

We will align our implementation and deployment approach are required in figure 6: eFileTexas 2.0 Major Deliverables.

5.4.2 Products/Components Overview

Provide a high-level overview of all in-scope products and components to be provided that enable the proposed Solution/approach as described in this RFO. Summarize the overall end-to-end functionality of the offered Solution to meet the requirements as defined in Attachment C: Requirements Response Workbook.

Additionally, identify any unique aspects of your Solution components and overall functionality that differentiate it from other market offerings.

Components and products used to enable the proposed solution include our ICON filer portal and dashboard, ICON EFM case and document management system, the ICON web services API library for access to our solutions, integration with HotDocs for document assembly, integration with Extract Systems for auto-

redaction, and integration with Momix for robust ad hoc reporting. Most of the product and component scope is offered directly through ICON products as described in the Solution Overview section 5.4. Additionally, we will leverage these third-party integrated components to satisfy the needs defined in the requirements response workbook.

A unique aspect of the ICON EFM engine is that is contains all the features to serve as court case management therefore providing many robust reporting and security features that can be leveraged in the EFM section.

5.4.3 System Architecture and Technology

Describe the overall system architecture and topology for the offered Solution. This must include information about the underlying platform and software on which the core components are built and supported, and how it will support security considerations, including how security will be maintained across the many local jurisdictions across the State of Texas.

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

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

Provide diagrams as needed to illustrate the Solution's proposed architecture. At a minimum, provide functional and technical view diagrams of the Solution's proposed architecture.

The proposed solution is developed using Microsoft Visual Studio c#.NET using .NET framework version 4.5.1 or higher, JavaScript, and Microsoft SQL Server 2016 Enterprise or higher as the database management software.

Microsoft Report Builder, Crystal Reports, and SQL Server Reporting Services can be used to create custom reports in addition to our built-in reporting that uses Active Reports for .NET

For courts that install public terminals to electronically file at the counter and want to offer the ability to scan documents into the portal, our document imaging application interface is available from the Google Chrome Store if you are using Chrome or the new version of Edge. Safari and Firefox can also be utilized.

Web Servers are running Windows Server 2019 and .NET 4.5.1 or higher and IIS 8.5. Web servers are in a farm behind load balancers.

Database Servers are running Windows Server 2016 enterprise or higher. Our configuration uses High Availability clustering with primary and multiple secondary servers in a load balance configuration. Secondary servers in the cluster serve the many read queries requested by users and provide excellent performance and failover.

Documents are stored on multiple file servers.

Our current solution resides in our private cloud that can be accomplished using a data center infrastructure, as well as the solution configured in AWS cloud. Hyperscale cloud connectivity options with AWS, Google Cloud, and Azure.

Advantages to our private cloud include:

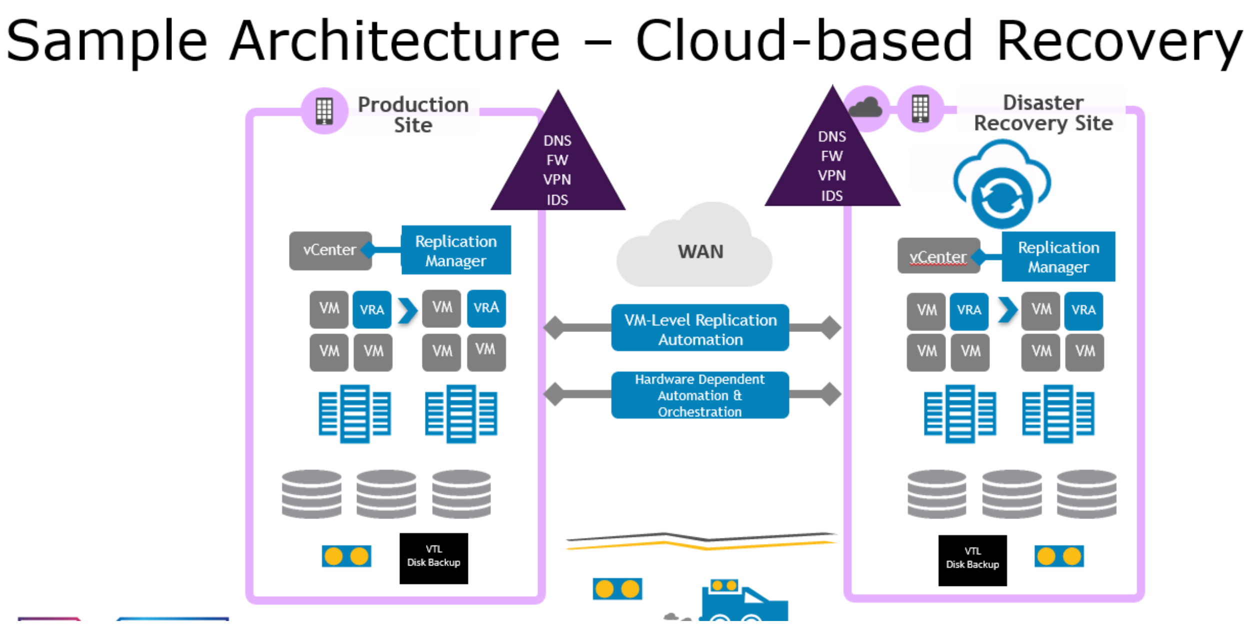
Enhanced security and privacy – All of your data and documents are stored and managed on dedicated virtual machines, monitored 365/24/7 by data center technicians, and eliminates physical security. Provide regulatory compliance.

Fully redundant platform – A fully redundant platform to compensation for failures such as storage, power, and internet. This is coupled with a farm of web servers and a SQL high availability cluster all leveraging load balancing. Hourly log shipping is also utilized for restore points.

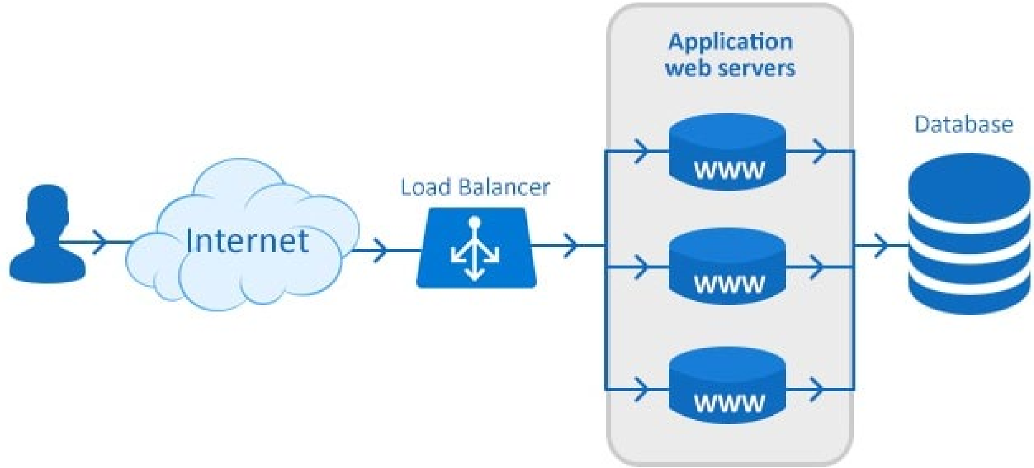
Scalable Resources – Flexible and customizable server resources.

Recovery Cloud – This is the most important feature of a cloud. You never want a disaster to strike such as a malicious attack, human error, or hardware failure. Features of disaster recovery include:

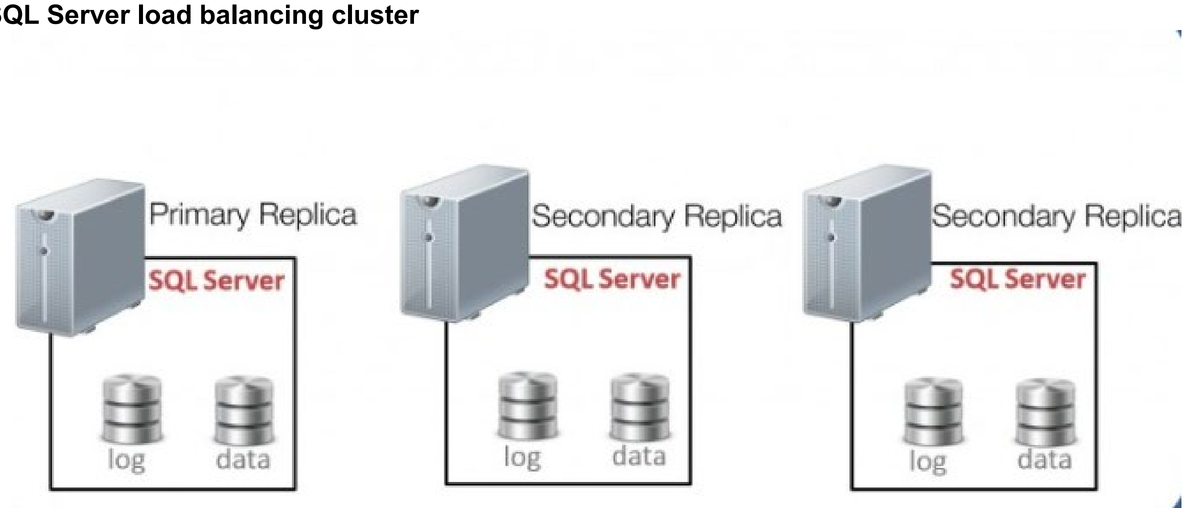
- *24/7 support and guided disaster declaration*
- *Disaster Recovery centers strategically located*
- *Near real-time replication*
- *Recovery Time Objective is less than 4 hours*
- *Recovery journals provide point-in-time recovery up to 30 days*
- *Improves security and recovery capabilities against malicious attacks including ransomware*
- *On demand DR testing and recovery runbook documentation*



Sample Web Server Load Balance



Sample SQL Server load balancing cluster



5.4.4 Requirements Response Workbook

Offeror shall complete and submit the Requirements Response Workbook according to the instructions provided in Attachment C: Requirements Response Workbook. The workbook provides OCA's detailed functional and technical specifications for eFileTexas 2.0. Offerors shall code each requirement according to the instructions provided in the workbook.

The Requirements Response Workbook is in MS Excel format, and organized into the following tabs:

Table 21: Requirements Response Workbook Structure

Tab #	Requirements Response Workbook Tab Title
1	Instructions
2	Requirements

Attachment C has been provided on the following pages.

Attachment C - Requirements Response Workbook

Workbook Instructions and Legend

Offerors are to follow the instructions below to allow a uniform evaluation of the offers. Insert the appropriate response code within the 'Offeror Response' column for each requirement. Additionally note:

- An omitted response will be assumed to be the same as a response code of "N".
- Only one (1) response per requirement will be accepted.
- Offerors must insert an explanation for how a requirement will be met in the Offeror Comment column when responding with a code of G, C, 3, or F, or if the requirement explicitly requests the Offeror to provide a comment. If Offerors do not provide a comment when explicitly requested, the requirement will be given the lowest evaluation score. Offerors must provide a comment for cells highlighted in yellow in Column G (Offeror Comment). Offeror responses with code O or N do not require explanation.

Response Option	Offeror Functionality	Definition	Additional Notes
O (**O**OTB)	Functionality provided as standard	The Offeror provides the functionality from its own code base (i.e., 'out of the box'). No customizing, working around, or configuration is required. The functionality must be installed and operational at other sites and be able to be demonstrated to OCA.	N/A
N (**N**o)	Functionality not proposed	Not included in the proposed solution.	N/A
G (Confi**G**uration)	Functionality provided by the Offeror, but requires configuration	The functionality can be accomplished with the Offeror's solution, but some configuration is required (e.g., the requirement will be met through configuration changes to settings of tables, switches, rules, user experience, etc. without modification or customization to the source code).	For this response option, Offeror must indicate the following in the comments column next to this response: 1. Description of configuration 2. Party who will perform the work (Offeror or Client/Other) 3. Estimated level of complexity (Very Complex, Somewhat Complex, Not Complex)
C (**C**ustomization)	Functionality provided by the Offeror, but requires customization	The functionality can be accomplished with the Offeror's solution, but some customizing or work around is required. This would include custom code developed to perform specific functions or validations outside the standard code.	For this response option, Offeror must indicate the following in the comments column next to this response: 1. Description of customization 2. Party who will perform the work (Offeror or Client/Other) 3. Estimated level of complexity (Very Complex, Somewhat Complex, Not Complex)
3 (3rd Party Integration)	Functionality provided, but requires integration with third-party solution	The Offeror has established a relationship with a business partner to provide this functionality, which is fully integrated (data, process, application) with the proposed solution. If the proposed solution includes a third party component, the Offeror as the prime must include all initial and on-going costs in its bid.	For this response option, Offeror must indicate the following in the comments column next to this response: 1. Name of the proposed third-party software package 2. Interface/integration services being proposed, including if it requires customization or custom integration development.
F (**F**uture Release)	Functionality provided by the Offeror, but in a future release	The functionality will be met with a particular feature that is in development.	For this response option, Offeror must indicate the following in the comments column next to this response: 1. Explanation of the new feature. 2. Expected date that such a feature will be made available. 3. If the feature will be included within the scope of this project.

Glossary of Terms

Actors (Roles)	Definition
Clerk	A Clerk maintains the record of the court; eFiling responsibilities include the review of incoming filings, ensuring that court systems and records correctly include the filing and providing access to that information to internal and external stakeholders/customers.
Filer	A Filer is a person or firm who files documents with the court using eFiling; filers can be attorneys or non-attorneys. A subtype of Filer is a "Direct Filer" who can file directly to the EFM through an API, without going through an EFSP.
Firm Administrator	A Firm Administrator is responsible for the configuration and account management for attorneys within a firm.
Forms Author	An individual who uses the Forms Assembly tool to create a forms template for use by Self Represented Litigants (SRL's) aka Pro se Litigant (see definition below).
Global Administrator	An administrator who can update configuration settings in the solution that can apply across the solution and all user groups.
Judicial Officer	Officers of the courts including judges, associate judges, and magistrates.
Jurisdiction Administrator	An administrator who can update configuration settings in the solution that apply to impacted user groups only within a specific jurisdiction (e.g., within a court).
OCA	Office of Court Administration
Pro se Litigant / Self Represented Litigant	Pro se Litigant / Self Represented Litigant is a person who is a party in a case and who has not engaged the services of an attorney for the purposes of representing himself/herself in court (including filing of documents); this person has the ability to file documents via eFileTexas 2.0.
Public	Members of the general public have access to view filed documents and associated metadata that is deemed publicly available information.
User	This term is used when the action can be performed by any user in the system, regardless of role.
Actors (Systems)	**Definition**
CMS	Court Case Management System (CMS) that resides at each individual court, which tracks and manages case information and events. The CMS is updated with data and documents from eFiling. Note: Out of scope for the RFO
eFileTexas 2.0 solution (or Solution)	Offeror shall provide a solution that includes the following: EFM, State EFSP, Document Access, Redaction, and Forms Assembly. All components below are in scope for the RFO.
EFM	An Electronic Filing Manager (EFM) is the system that accepts electronic documents from filers via EFSPs and direct API integrations, and securely distributes these documents to the appropriate CMS where they can be reviewed and accepted into the CMS of that court by the Clerk. The EFM also serves copies of documents as requested by the filer.
State EFSP	In addition to commercial EFSPs, the solution includes a 'State EFSP' provided by the EFM offeror for filers not using a commercial EFSP.
Document Access	Provide access to accepted eFiled documents and associated metadata. Includes capabilities such as Search Documents, View Filing Data, and View Documents.
Redaction	Blocks access to selective protected content within filed documents. Includes capabilities such as Redact Automatically, Redact Manually, and Preview Redaction.
Forms Assembly	Use of standard forms by self-represented litigants to prepare and submit filings to the court. Includes capabilities such as Administer forms for use by pro se litigants, Prepare Forms, and Submit Forms.
EFSP	An Electronic Filing Service Provider (EFSP) is a third party private company which provides eFiling services directly to filers. The EFSPs collect filing information from the filers and transmits the filing to the EFM for subsequent distribution to the CMS, for review and approval by the clerk. Note: Out of scope for the RFO
Prioritization Levels	**Definition**

High	Required to be implemented by Go Live.
Medium	Highly desired to be implemented by Go Live or at least within three years after Go Live.
Low	Desirable (Optional).
Other Terms	**Definition**
Jurisdiction	Generally, the scope of a court's powers, including: the geographic region it covers, and its authority to handle a case based on the case's subject matter and/or the potential dollar amount of damages at stake.

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
10	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to initiate a new case when submitting an initial filing (refer to JCIT Technology Standards for a list of filing types on new cases)	High	O (OOTB)	
20	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to search for existing cases when submitting a subsequent filing (refer to JCIT Technology Standards for a list of subsequent filing types)	High	O (OOTB)	
30	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to save in-progress filings for completion at a later time	High	O (OOTB)	
40	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to respond to a series of prompted questions that guide the Filer through the filing process	High	C (Customization)	Interview/questions can be configured to guide the filer and feed into document assembly
50	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to use a "quick file" option which keeps the number of screens and inputs required to a minimum for simple filings (e.g. Letter of Representation, Vacation Letters, etc.)	Medium	C (Customization)	We have easy file screens to limit data when wiling into an existing case. Any required data outside of the case number and document that is currently configured would need to be addressed
60	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to select the jurisdiction, case type, filing type and other table-driven parameters from configurable, on-screen lists	High	O (OOTB)	
70	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to dynamically enter information according to pre-defined configuration rules (e.g., displaying which fields appear, validating business rules based on selections made or data entered by a Filer such as case type, file type, document type, and/or document format)	High	C (Customization)	Any required data that must appear based upon the filing type would need to be defined and configured
80	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to set preferences for frequently used information (e.g., "favorite" courts, case types, file types, jurisdiction)	Medium	G (ConfiGuration)	Much of this is done via roles, and certain file types can be assigned to user queues. Without a full list of preferences some configuration is expected.
90	eFiling Preparation and Submission	Prepare Form Filing	Ability for data entered by a Filer be automatically validated upon data entry to ensure formats are correct for designated fields (e.g., phone numbers, dates, case numbers)	High	O (OOTB)	
100	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to indicate if certain confidential information (e.g., SSN) exists in a document being filed and/or if the entire document is confidential (e.g., Temporary Restraining Order, Mental Health) and make such indications visible to subsequent Clerk reviewers of the filing	High	O (OOTB)	
110	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to populate contact information on a filing based on information associated to the Filer's account	High	O (OOTB)	
120	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to indicate the need for an interpreter and/or assistive technology prior to submittal and include the request in information transmitted to the court case management Solution	Low	G (ConfiGuration)	the request can be sent with the filing envelope but and messaging pre-filing would need to be configured.
130	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to search designate the Attorney of Record at time of filing	High	O (OOTB)	
140	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to populate a filing with a selected Attorney's profile (e.g., state bar number, bar association email, service address)	High	O (OOTB)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
150	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Jurisdiction Administrator to configure in the Solution whether Filers are prompted to confirm and/or update their email address at time of filing	Low	C (Customization)	Development addition
160	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to include both physical and email addresses of service contacts for distribution of service documents and notices to parties	Medium	O (OOTB)	
170	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to enter an additional email address to receive notifications for each case (e.g., in addition to the service address associated to the State Bar Registry)	High	O (OOTB)	
180	eFiling Preparation and Submission	Prepare Form Filing	Ability to allow a recipient of the emails described in the above requirement to be able to opt out of further communications by case	High	O (OOTB)	
190	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Global Administrator or Jurisdictional Administrator to limit and view the number of parties included in a case at State or local levels, respectively (local court jurisdiction limits may apply - see Solution Administration requirements). *In the comments, further describe how this requirement would be met.*	Low	C (Customization)	Development addition
200	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to display and select from a list of all filings to which they are party to, the current status of each filing, and associated dates	High	O (OOTB)	
210	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to display and select from a list of all cases to which they are party to, the current status of each cases, and associated dates (if the court CMS provides the required interface)	Medium	G (ConfiGuration)	Case lists, reports and documents are accessible to a filer from their filing dashboard. Configuration may be required to display requested information
220	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to upload a document as part of a filing	High	O (OOTB)	
230	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to upload multiple documents as part of a filing and be able to select multiple documents at one time for uploading into a filing (as opposed to selecting and uploading individually)	High	C (Customization)	We use individual upload and drag and drop. Multi select would require a customization.
240	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to submit one document filed on multiple cases (e.g., substitution of Attorney on multiple cases, Vacation Letter, Criminal Filings). *In the comments please describe how this requirement would be met.*	Medium	C (Customization)	Development addition
250	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to upload multiple file formats in a single filing	High	O (OOTB)	
260	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to bundle filings of multiple lead documents in one case (e.g., motions) without invoking multiple lead document fees (e.g., only apply case-level filing fees once even if multiple documents are included in a single filing)	High	O (OOTB)	
270	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to indicate that one document has been split into multiple files (e.g., to meet any file-size restrictions) and specify the sequence of such files. *Describe possible solutions to manage file sizes over 30MB (e.g., batch process large file size submission during non-peak hours, leverage lower priority queue, etc.).*	High	C (Customization)	Development addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
280	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to remove an attached document prior to submitting the filing	High	O (OOTB)	
290	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to enter a document subtitle to augment the standard title of the document	Low	O (OOTB)	
300	eFiling Preparation and Submission	Prepare Form Filing	Ability to store document metadata fields entered by a Filer on Solution screens when a filing is created	High	O (OOTB)	
310	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to combine multiple document files into a single document at the time of upload	Low	C (Customization)	Development addition
320	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to add separator pages between the files when a single document is created from multiple files	Low	C (Customization)	Development addition
330	eFiling Preparation and Submission	Prepare Form Filing	Ability to link to PDF converter applications for use by a Filer without their own software to create PDFs	Low	G (ConfiGuration)	If PDF convertor preference is supplied, a link coulld be provided.
340	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to submit documents for action by another party which remain outside of the official record formally filed (e.g., a stipulation started by one Attorney which needs to be signed by the opposing Attorney, such as for e-discovery or order to adjourn)	High	C (Customization)	We currently handle proposed orders in this manner. Documents that are not official record are flagged as such and routed to the proper queue or party. e-disconvery documents can be flagged in a similar manner and delivered by the eFiling system.
350	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to submit 'draft' versions of documents for review (e.g., a proposed order submitted by an Attorney for Judicial Officer's review and comment)	High	O (OOTB)	
360	eFiling Preparation and Submission	Prepare Form Filing	Ability to automatically determine the size of documents when updated by the Filer (e.g., file size, number of pages) for use in file upload validations	High	G (ConfiGuration)	Would need to configure size permitted
370	eFiling Preparation and Submission	Prepare Form Filing	Ability to prevent a Filer from uploading and filing documents that exceed OCA defined size parameters (e.g., file size, number of pages, number of attachments); *In the comments, please indicate any limitations and describe how to avoid and/or resolve potential issues transmitting file sizes up to 2GB to jurisdictions.*	High	G (ConfiGuration)	Would need to configure size permitted
380	eFiling Preparation and Submission	Prepare Form Filing	Ability to prevent a Filer from uploading and filing documents that are not permitted based on an OCA defined list of allowable file types (e.g., PDF, Word, Acceptable Codex for video)	High	G (ConfiGuration)	Would need to configure allowed formats
390	eFiling Preparation and Submission	Prepare Form Filing	Ability for the State EFSP and/or the EFM to verify the condition of documents uploaded by Filers and prevent upload if a document is found to be corrupt or does not meet JCIT standards (see JCIT Technology Standards)	High	C (Customization)	Customize system check to meet the JCIT
400	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to receive a notification that describes reason(s) a document is prevented from uploading and recommendation(s) to resolve the issue	High	C (Customization)	Customize system check to meet the JCIT

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
410	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Jurisdiction Administrator to define web page(s) for Filer, Public or other designated Users that display jurisdiction specific information (e.g., contact information, hours) allowable per business rules	Medium	C (Customization)	Customize web page contacts and information on landing pages.
420	eFiling Preparation and Submission	Prepare Bulk Filing	Ability for a Filer to prepare multiple filings on multiple cases in one submission (i.e., “bulk filings") for designated case types or documents	High	C (Customization)	Bulk eFiling exists via API for XML data/document, would need to add bulk filing to standard filing
430	eFiling Preparation and Submission	Prepare Bulk Filing	Ability for a Filer to attach one or more documents to individual filings within a bulk filing	High	C (Customization)	Bulk eFiling exists via API for XML data/document, would need to add bulk filing to standard filing
440	eFiling Preparation and Submission	Prepare Bulk Filing	Ability to limit the number of filings (i.e., cases) a Filer may include in a bulk filing submission	High	G (ConfiGuration)	Bulk eFiling exists via API for XML data/document, would need to add bulk filing to standard filing
450	eFiling Preparation and Submission	Prepare Bulk Filing	Ability to for the Solution to support the submission of large numbers of filings in a bulk filing without impact to Solution performance	High	C (Customization)	Bulk eFiling exists via API for XML data/document, would need to add bulk filing to standard filing
460	eFiling Preparation and Submission	Prepare Non-Form Filing	Ability for a Direct Filer to submit a non-form filing in an XML format with embedded metadata tagged conformant with ECF standards	High	C (Customization)	Development addition
470	eFiling Preparation and Submission	Prepare Non-Form Filing	Ability for a Filer to attach multiple attachments to a non-form document	High	C (Customization)	Development addition
480	eFiling Preparation and Submission	Prepare Non-Form Filing	Ability for a Filer to separate a large document (e.g., file size) into multiple documents to facilitate eFile processing and subject to solution configured document size limitations	High	C (Customization)	Development addition
490	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to file to any Texas trial court	High	G (ConfiGuration)	Development addition
500	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to file to any Texas appellate court	High	G (ConfiGuration)	Development addition
510	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to submit multiple proposed motions at one time (e.g., if one Attorney takes over another Attorney's case load)	High	C (Customization)	Development addition
520	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to preview a filing prior to submission	High	O (OOTB)	
530	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to withdraw a filing before a Clerk has reviewed it	High	O (OOTB)	
540	eFiling Preparation and Submission	Submit Filing	Ability for a Jurisdiction Administrator to define jurisdiction-specific criteria that assigns a court type for specific filings (e.g., assign family case to any court type)	Medium	C (Customization)	Moving a case between court types would require role configuration for an administrator to reassign the filing to another court type.
550	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to either file only, serve only, or file and serve as required	High	C (Customization)	serve only option would need to be configured on the filer dashboard

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
560	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to submit filings on an existing case for which a Filer has not previously filed (e.g., substitution of Attorney and notice of appearance from new Attorney taking over a case). *Describe how this requirement would be met.*	Medium	O (OOTB)	This is just a standard file against an existing case. The filer performs a search to validate the case number and submits their documents into the selected case.
570	eFiling Preparation and Submission	Submit Filing	Ability for a Filer acting as the Attorney filing on their own behalf as a litigant to submit a filing without validating Attorney credentials	High	O (OOTB)	pro se
580	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to submit documents without validating the Attorney status in the Texas Bar Association (e.g., in the event Texas Bar Association information in eFileTexas 2.0 is not updated)	High	O (OOTB)	
590	eFiling Preparation and Submission	Submit Filing	Ability for an authorized Filer to request a designated jurisdiction staff when an emergency filing is submitted (e.g., add a comment to the filing that notifies designated staff)	Low	O (OOTB)	
600	eFiling Preparation and Submission	Submit Filing	Ability to perform a virus check on every document submitted by a Filer and prevent submission if a virus is found	High	O (OOTB)	
610	eFiling Preparation and Submission	Submit Filing	Ability to use OCR at the time of document submission to prepare otherwise non-searchable documents for searching	High	C (Customization)	Development addition and integration to OCR engine
620	eFiling Preparation and Submission	Submit Filing	Ability for the Solution to assign a filing date per the parameters and business rules defined	High	G (ConfiGuration)	supply rules
630	eFiling Preparation and Submission	Submit Filing	Ability to allow Jurisdiction Administrators to add/modify/delete holidays	High	G (ConfiGuration)	Developer addition for per jurisdiction holidays
640	eFiling Preparation and Submission	Submit Filing	Ability for a Jurisdiction Administrator to stipulate filing blackout dates (e.g., for precise blackout periods, emergency / disaster event) during which filings would not be reviewed	High	C (Customization)	Developer addition
650	eFiling Preparation and Submission	Submit Filing	Ability to provide a configurable confirmation notice to a Filer upon successful submission	High	C (Customization)	Developer addition
660	eFiling Preparation and Submission	Submit Filing	Ability to provide a single confirmation notice to a Filer when a bulk filing is submitted, listing all cases (including each case's documents) separately along with the fees charged to each case	High	C (Customization)	Developer addition
670	eFiling Review and Acceptance	Submit Filing	Ability for a Filer to receive a notification that describes reason(s) a filing was rejected or returned for correction so that they may resolve the issue(s) prior to resubmittal	High	O (OOTB)	
680	eFiling Review and Acceptance	Submit Filing	Ability for a Filer to resubmit the same filing with corrected or additional documents for a previously submitted filing that was rejected or returned for correction	High	O (OOTB)	
690	eFiling Review and Acceptance	Submit Filing	Ability for a Filer the ability to resubmit a filing under the original filing date if anything in an envelope is rejected or returned for correction. *Describe capabilities to index resubmitted documents appropriately in an existing envelope*	High	O (OOTB)	Based on rules configured, an envelope returned for correction will hold its date/time filed. you can stipulate it will not maintain the date/time if they do not correct and resubmit within x days.

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
700	eFiling Review and Acceptance	Route to Jurisdiction / Court (/Type)	Ability to route filings to review queues at jurisdictions specified by Filer during eFiling Preparation	High	C (Customization)	Developer addition
710	eFiling Review and Acceptance	Queue for Review	Ability for a Global Administrator and/or Jurisdiction Administrator to establish work queues based on one or more categories such as role (e.g., Managers, Clerk, Judicial Officers, external entity), case type (e.g., new cases, appeals, civil, criminal), filing type (e.g., motions, orders), agency / organization submitting the filing, filing status (e.g., error, active)	High	C (Customization)	Developer addition
720	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to assign specific staff to specific work queues	High	C (Customization)	Developer addition
730	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to define business rules for each work queue (e.g., proposed orders go to Judicial Officer queue) which are used to automatically route filings	Medium	C (Customization)	Developer addition
740	eFiling Review and Acceptance	Queue for Review	Ability for a Global Administrator and/or Jurisdiction Administrator to configure work queues by User role (e.g., Clerk queues may be sorted by date from oldest to newest; Judicial Officer queues may be sorted by document type)	High	C (Customization)	Developer addition to add any extra filters
750	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to configure their own work queues including designating fields which are displayed (e.g., date and time received, document type, document description, filing party, sort order)	High	C (Customization)	Developer addition but many work queue options exist
760	eFiling Review and Acceptance	Queue for Review	Ability for an authorized User to modify work queues and save personal screen display settings (e.g., sort order for each column, column widths)	Low	N (No)	
770	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to define a set of parameters for a default queue	High	C (Customization)	Developer addition
780	eFiling Review and Acceptance	Queue for Review	Ability to limit a Clerk's access to filings and/or work queues based on court, case type, and/or role (e.g., only Clerks authorized to process adoptions can access adoption filings in the queues)	High	C (Customization)	Developer addition
790	eFiling Review and Acceptance	Queue for Review	Ability for a supervising Clerk to give queue access to Users	High	C (Customization)	Developer addition
800	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to assign a pre-determined priority by filing type (e.g., Writs of Apprehension for children in extreme danger; a motion filed before someone is released from jail, protection orders)	High	C (Customization)	Developer addition
810	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to prioritize document reviews based on a jurisdiction's routing rules (e.g. priority queues)	High	C (Customization)	Developer addition
820	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to prioritize submissions based on multiple criteria (e.g., proposed orders at the top of the queue) with the ability to override the primary sequencing (e.g., high-priority documents are placed at the top of the queue in first-in order)	High	C (Customization)	Developer addition
830	eFiling Review and Acceptance	Queue for Review	Ability to automatically display the next filing in the work queue when the Clerk completes the processing of each filing	High	C (Customization)	Developer addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
840	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to select documents for review outside of the order presented in their respective queue(s)	High	O (OOTB)	
850	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to have multiple documents open at the same time, including documents from different cases	High	C (Customization)	Developer addition
860	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to filter work queues (e.g., display filings from a particular organization or agency (e.g., Law Firms, Prosecutor's Office, Friend of the Court)	High	C (Customization)	Developer addition
870	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to move documents between review queues	High	C (Customization)	Developer addition
880	eFiling Review and Acceptance	Queue for Review	Ability for a Judicial Officer to remove a filing from their queue and return it to back to the queue at a specific date	High	C (Customization)	Developer addition
890	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to identify specific firms and case types for auto-review	High	C (Customization)	Developer addition
900	eFiling Review and Acceptance	Queue for Review	Ability to place documents in a queue monitored by a Judicial Officer "on hold" (e.g., defer review and acceptance) for a defined period of time (e.g., 7 days, 21 days, indefinitely) with automatic return to their review queue when the period has expired or a subsequent action occurs	Medium	C (Customization)	Developer addition
910	eFiling Review and Acceptance	Queue for Review	Ability to designate if a document "on hold" should automatically return to a review queue if a subsequent filing action occurs on the same case	Medium	C (Customization)	Developer addition
920	eFiling Review and Acceptance	Queue for Review	Ability for a supervising Clerk to automatically balance workloads across assigned employees within a jurisdiction	Medium	C (Customization)	Developer addition
930	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to set ticklers and reminders for action on documents (e.g., future action required based on a defined number of days, no action on a submission has been taken in a defined number of days), with an alert or notification issued when the timing criteria has been reached	Medium	C (Customization)	Developer addition
940	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to process filings received by the EFM through the e-Filing service provider interface	High	O (OOTB)	
950	eFiling Review and Acceptance	Review Filing	Ability to automatically populate fields (e.g., document description) in the Clerk review queue	Medium	O (OOTB)	
960	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to easily view a Filer's contact information when reviewing documents	High	O (OOTB)	
970	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to be prevented from processing a filing if another Clerk is already processing that same filing (e.g., "lock" documents to avoid edit conflicts during concurrent reviews and/or edit sessions)	High	O (OOTB)	
980	eFiling Review and Acceptance	Review Filing	Ability to display a notification to a Clerk if they are attempting to access a document that is already being processed, including who it is being processed by	High	O (OOTB)	
990	eFiling Review and Acceptance	Review Filing	Ability to notify a Clerk when a filing that does not meet pre-defined completion criteria upon submittal	Low	C (Customization)	Developer addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1000	eFiling Review and Acceptance	Review Filing	Ability for a Jurisdiction Administrator to terminate document 'locks' (e.g., if a User neglects to 'unlock' a document for an extended period of time)	High	C (Customization)	Developer addition
1010	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to re-categorize an inaccurately categorized document and/or filing type prior to acceptance	High	O (OOTB)	
1020	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to send notes or comments to a Filer prior to accepting or rejecting a filing (e.g., for clarification purposes, to request a Filer take additional action)	Medium	C (Customization)	Developer addition
1030	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to edit document metadata (e.g., minor corrections such as incorrect form or court, filing code) during the Clerk review process prior to acceptance, with any changes being logged/audited. Note: The Clerk should not be allowed to edit the document itself. In that case, it should be returned for correction.	High	C (Customization)	Developer addition
1040	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to merge multiple files if the document had been split into multiple files for submission purposes	Low	C (Customization)	Developer addition
1050	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to split one document into multiple documents (e.g., to split a single PDF containing multiple filings into separate documents)	Low	O (OOTB)	
1060	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to rotate documents during review and to save the document's rotation state at acceptance with file stamps positioned appropriately to the rotated document	Medium	C (Customization)	Developer addition
1070	eFiling Review and Acceptance	Review Filing	Ability for a Clerk who processed the filing to include additional notes in the notification	High	C (Customization)	Developer addition
1080	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to specify the Judicial Officers associated with a filing if not previously identified	High	C (Customization)	Developer addition
1090	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk to accept a filing	High	O (OOTB)	
1100	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk to accept or return for correction at either the envelope, lead document, and/or individual document	High	O (OOTB)	
1110	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk to accept individual documents in a filing without processing all documents in that filing	Medium	C (Customization)	Developer addition
1120	eFiling Review and Acceptance	Accept Filing	Ability for a Global Administrator to define a period of time (e.g., based on JCIT technology standard of 30 days) after a designated event or case status (e.g., the filing has been accepted, case closure) that a Filer can access stamped copies of documents filed on their cases	High	G (ConfiGuration)	Configuration required
1130	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk to perform automated Solution-functions (e.g., document stamping, service) for each individual filing within a bulk filing as each filed document is processed / approved	High	C (Customization)	Developer addition
1140	eFiling Review and Acceptance	Accept Filing	Ability for a Global Administrator to configure the information (e.g., case number, a link to the filed document(s), list of those who received notice of the filing, issue and expiration date for garnishments) in an acceptance confirmation notification	High	C (Customization)	Developer addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1150	eFiling Review and Acceptance	Accept Filing	Ability for a Filer to receive a single notice after all documents in a bulk filing are processed, listing all cases (and documents for each case) separately, including the status of each document	Medium	C (Customization)	Developer addition
1160	eFiling Review and Acceptance	Accept Filing	Ability for a Jurisdiction Administrator to designate filings which are automatically accepted based on jurisdiction-defined criteria (e.g., proof of service filings on document served electronically)	High	C (Customization)	Developer addition
1170	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk to accept designated documents which do not become part of the case record (e.g., an inventory for a decedent's estate)	Medium	C (Customization)	Developer addition
1180	eFiling Review and Acceptance	Accept Filing	Ability for the EFM to automatically notify designated Users when certain documents have been filed	Low	C (Customization)	Developer addition
1190	eFiling Review and Acceptance	Accept Filing	Ability for all parties to automatically receive an electronic copy of the filed document after the document has been accepted in the court's local case management Solution	High	O (OOTB)	
1200	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk the ability to recover and resubmit an accepted filing for which the CMS update transaction was not successful. *Describe how this requirement would be met.*	Medium	C (Customization)	Developer addition
1210	eFiling Review and Acceptance	Reject Filing	Ability for a Clerk to reject a filing	High	O (OOTB)	
1220	eFiling Review and Acceptance	Reject Filing	Ability for a Clerk who processed a filing submission to include additional notes in a rejection notification (e.g., rejection reason)	High	O (OOTB)	
1230	eFiling Review and Acceptance	Reject Filing	Ability for a Clerk to reject individual documents in a filing without processing all documents in that filing	High	C (Customization)	Developer addition
1240	eFiling Review and Acceptance	Reject Filing	Ability for a Global Administrator to pre-define a set of standard rejection reasons (e.g., missing signature) for use by all jurisdictions to include in a notification back to Filer	High	O (OOTB)	
1250	eFiling Review and Acceptance	Reject Filing	Ability for a Jurisdiction Administrator to associate a standard rejection reason (with a link to online documentation of the relevant court rule) to a court rule	High	C (Customization)	Developer addition
1260	eFiling Review and Acceptance	Reject Filing	Ability for a Clerk to reject multiple proposed motions at one time (e.g., if one Attorney takes over another case load)	High	C (Customization)	Developer addition
1270	eFiling Review and Acceptance	Reject Filing	Ability for a Clerk to prevent acceptance of re-categorized documents if the filing fee for the new document is higher than the filing fee paid for the document as originally categorized and until the additional fee is submitted	High	C (Customization)	Developer addition
1280	eFiling Review and Acceptance	Return Filing for Correction	Ability for a Clerk to return a filing for correction to the Filer	High	O (OOTB)	
1290	eFiling Review and Acceptance	Return Filing for Correction	Ability for a Clerk to select a reason code (configured in the Solution) for the correction and optionally include instructions for resubmittal and/or supplemental text to explain the reason	High	O (OOTB)	
1300	eFiling Review and Acceptance	Digital Stamps	Ability to auto-stamp a filing once it is received, filed, accepted, or rejected by a Clerk	High	C (Customization)	Developer addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1310	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk to apply digital stamps for acceptance as well as actions taken on documents in addition to acceptance (e.g., reviewed, multiple signature)	Low	C (Customization)	Developer addition
1320	eFiling Review and Acceptance	Digital Stamps	Ability for a Jurisdiction Administrator to specify what data can be included on a stamp (e.g., court number, court-specific watermarks)	High	G (ConfiGuration)	Developer addition
1330	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk and/or Jurisdiction Administrator to create customized stamps	High	C (Customization)	Developer addition
1340	eFiling Review and Acceptance	Digital Stamps	Ability for Jurisdiction Administrators to configure date calculation rules and include the calculated date in stamps (e.g., date for summons expiration automatically calculated as 180 days from date of summons filing acceptance) as long as it does not override times defined in the JCIT Technology Standards.	Low	C (Customization)	Developer addition
1350	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk to modify the date stamp of a filed document prior to acceptance	High	C (Customization)	Developer addition
1360	eFiling Review and Acceptance	Digital Stamps	Ability to require a Clerk to provide a reason why a date stamp is modified prior to saving any changes	High	C (Customization)	Developer addition
1370	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk to move file stamps (e.g., individual lines of the stamp) in the event it obstructs document content	High	C (Customization)	Developer addition
1380	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk to move file stamps as a block (e.g., the entire stamp as an image) in the event it obstructs document content	High	O (OOTB)	
1390	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk to alter the size of signatures (e.g., for Clerks and stamps)	High	C (Customization)	Developer addition
1400	eFiling Review and Acceptance	Provide Additional Clerk Services	Ability for designated Users (e.g., Judicial Officers, Clerks, Friend of Court) to add orders, entries, notices, etc. for review and acceptance using the State-sponsored EFSP	High	O (OOTB)	
1410	eFiling Review and Acceptance	Provide Additional Clerk Services	Ability for a Clerk to not be required to process payments for filings submitted by designated entities (e.g., prosecutors)	High	O (OOTB)	
1420	eFiling Review and Acceptance	Provide eService	Ability for a Jurisdiction Administrator to specify allowable methods of service	Low	G (ConfiGuration)	Configuration required
1430	eFiling Review and Acceptance	Provide eService	Ability for a Jurisdiction Administrator and/or Clerk to define a required method of service for specific documents / service types	Medium	C (Customization)	Developer addition
1440	eFiling Review and Acceptance	Provide eService	Ability for a Clerk to serve documents electronically (e.g., via email), including performing concurrent e-service to registered parties and interested persons defined to receive service electronically	High	O (OOTB)	
1450	eFiling Review and Acceptance	Provide eService	Ability to automatically assign the Attorney of Record and pro se Filer for self-represented litigants as the first service contact	High	O (OOTB)	
1460	eFiling Review and Acceptance	Provide eService	Ability for Filer to enter parties and interested persons to receive each document and the manner in which service is to be performed (e.g., e-service, certified mail)	High	C (Customization)	Certified Mail would need to be added to e-service
1470	eFiling Review and Acceptance	Provide eService	Ability to attempt to serve notices multiple times at an interval defined by the Global Administrator before deeming an electronic notice undeliverable	High	C (Customization)	Developer addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1480	eFiling Review and Acceptance	Provide eService	Ability to log each attempt to serve notices before an electronic is successful or designated undeliverable	High	C (Customization)	Developer addition
1490	eFiling Review and Acceptance	Provide eService	Ability for a Global Administrator to configure the number of delivery attempts to be made before deeming an electronic notice undeliverable	High	C (Customization)	Developer addition
1500	eFiling Review and Acceptance	Provide eService	Ability to issue a notification to a Filer who is responsible for serving parties or interested persons when an email address is not available for one or more of the parties to be served	Medium	C (Customization)	Developer addition
1510	eFiling Review and Acceptance	Provide eService	Ability to process served citations through the eFileTexas 2.0 Solution (e.g., for constable to serve)	High	C (Customization)	Developer addition
1520	eFiling Review and Acceptance	Provide eService	Ability to provide a Clerk with a notification when service is complete (in addition to filing of the return of service)	Low	C (Customization)	Developer addition
1530	eFiling Review and Acceptance	Provide eService	Ability for the Solution to provide the court CMS with Proof of Service information for documents served electronically when the service notice is distributed to the service recipient(s), including all details (e.g., name, email, date/ time sent, etc.)	High	O (OOTB)	
1540	eFiling Review and Acceptance	Provide eService	Ability for a Global Administrator or Jurisdiction Administrator to specify the automated creation of certificates of service (e.g., insert a page at the end of every document served showing the case number, filer name, filer email address, date of service, list of all persons served (name and email address), etc.)	High	C (Customization)	Developer addition
1550	eFiling Review and Acceptance	Provide eService	Ability to track all details about e-service including status, date and time the service notice email was issued, and the date and time the service notice email was opened	High	C (Customization)	Developer addition
1560	eFiling Review and Acceptance	Provide eService	Ability to prevent documents from being served until after a Clerk has accepted them	Medium	O (OOTB)	
1570	eFiling Review and Acceptance	Provide eService	Ability for a Jurisdiction Administrator to prevent e-service on actions that should remain "unannounced" (e.g., ex parte protection orders) through configuration per business rules	High	C (Customization)	Developer addition
1580	eFiling Review and Acceptance	Facilitate eDiscovery	Ability for Filers to submit filings for eDiscovery (e.g. documents, videos)	Medium	C (Customization)	Video would have to be made a permissible upload option
1590	eFiling Review and Acceptance	Facilitate eDiscovery	Ability for a Filer to exchange other non-filed documents through the eFileTexas 2.0 Solution for discovery (e.g., attorney's sharing documents with other attorneys) and track and display associated data for authorized users (attorneys) within the Solution	High	C (Customization)	Developer addition
1600	eFiling Review and Acceptance	Route Proposed Order	Ability for a Clerk to select to route a proposed order to a specific queue	High	G (ConfiGuration)	Configuration required
1610	eFiling Review and Acceptance	Route Proposed Order	Ability for a Clerk to route a proposed order to the top of a designated queue (e.g., a Judicial Officer queue)	High	G (ConfiGuration)	Route to a party is available. top of queueu priority would need configuration
1620	eFiling Review and Acceptance	Route Proposed Order	Ability for authorized individuals (e.g., Judicial Officers) to edit a submitted document (e.g., a draft order prepared by an Attorney) with a new version of that document (e.g., a revised order)	Low	O (OOTB)	
1630	eFiling Review and Acceptance	Prepare Citation	Ability for a Clerk to prepare a citation through eFiling	High	C (Customization)	Development Addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1640	eFiling Review and Acceptance	Prepare Citation	Ability for a Clerk to prepare a citation where designated fields on the citation are automatically populated with data retrieved from the corresponding filing and/or CMS	High	C (Customization)	Development Addition
1650	eFiling Review and Acceptance	Prepare Citation	Ability for a Clerk to submit a citation through eFiling	High	C (Customization)	Development Addition
1660	eFiling Review and Acceptance	Prepare Citation	Ability for a Filer to request preparation of a citation	High	C (Customization)	Development Addition
1670	eFiling Review and Acceptance	Prepare Citation	Ability for a Clerk to request service of a citation	High	C (Customization)	Development Addition
1680	eFiling Review and Acceptance	Prepare Citation	Ability for a Filer to request service of a citation	High	C (Customization)	Development Addition
1690	eFiling Review and Acceptance	Prepare Citation	Ability for a Filer to specify the method of service of a citation (e.g., eService, constable, etc.)	High	C (Customization)	Development Addition
1700	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Global Administrator to associate statewide or jurisdiction fees with filing types and other OCA defined events or services (e.g., eService)	High	G (ConfiGuration)	Fees are congurable
1710	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Jurisdiction Administrator to associate jurisdiction fees with filing types and other jurisdiction defined events or services (e.g., eService)	High	G (ConfiGuration)	Configuration required
1720	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Jurisdiction Administrator to set a schedule for managing financial transactions (e.g., holds)	High	G (ConfiGuration)	Configuration required
1730	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Jurisdiction Administrator to manage fee types with configurable workflow and business rules for processing. Examples are included in requirements indented below:	High	G (ConfiGuration)	Configuration required
1740	Fee Admin and Calculation	Administer Fee Schedule	Fee calculation rules	High	G (ConfiGuration)	Configuration required
1750	Fee Admin and Calculation	Administer Fee Schedule	Specification if the fee is refundable, eligible to be waived, or voided	High	G (ConfiGuration)	Configuration required
1760	Fee Admin and Calculation	Administer Fee Schedule	Ability to apply a surcharge (e.g., additional fees, returned check fee)	High	G (ConfiGuration)	Configuration required
1770	Fee Admin and Calculation	Administer Fee Schedule	Fee Codes (e.g., for Appellate and Supreme Courts as defined in Electronic Processing of Revenues and Expenditures, including Texas.gov Portal Activity (APS 029) https://fmx.cpa.texas.gov/fm/pubs/aps/29/j001_all.php)	High	G (ConfiGuration)	Configuration required
1780	Fee Admin and Calculation	Administer Fee Schedule	Fee Schedule Effective Date	High	G (ConfiGuration)	Configuration required
1790	Fee Admin and Calculation	Administer Fee Schedule	Fee Schedule Expiration Date	High	G (ConfiGuration)	Configuration required
1800	Fee Admin and Calculation	Administer Fee Schedule	Fee Code Effective Date	High	G (ConfiGuration)	Configuration required
1810	Fee Admin and Calculation	Administer Fee Schedule	Fee Code Expiration Date	High	G (ConfiGuration)	Configuration required
1820	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Global Administrator and/or a Jurisdiction Administrator to manage multiple fee schedule versions (e.g., use of effective dates in the fee schedule)	Medium	G (ConfiGuration)	Configuration required
1830	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Jurisdiction Administrator to apply fee schedules based on the date of submission of the filing and the effective date of the relevant fee schedule	High	G (ConfiGuration)	Configuration required

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1840	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Global Administrator and/or a Jurisdiction Administrator to designate case types which incur one-time eFiling fees and to change that designation	High	G (ConfiGuration)	Configuration required
1850	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Global Administrator to establish specific fee schedules for Document Access (e.g., as defined by JCIT Technology Standards)	High	G (ConfiGuration)	Configuration required
1860	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Clerk to adjust fees after submission and before acceptance (e.g., Clerk adding orders or entries, Filer selected the wrong filing type)	High	O (OOTB)	
1870	Fee Admin and Calculation	Assess & Invoice Fees	Ability to assess filing fees as if there is a single lead document when multiple lead documents are submitted by a Filer for a single case	High	C (Customization)	Development Addition
1880	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Clerk to recalculate filings fees during the review process (e.g., when a Clerk recategorizes a document type)	High	O (OOTB)	
1890	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to request additional services for which fees are assessed (e.g., refer to JCIT technology standards)	High	O (OOTB)	
1900	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Clerk to add additional services for which fees are assessed (e.g., clerk confirms with Filer of constable service of a document)	High	O (OOTB)	
1910	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Jurisdiction Administrator to specify how filing fees are calculated automatically as documents are added to the filing based on a predefined fee schedule (e.g., fees based on various criteria including type of case, type of service, number of pages in service documents)	High	C (Customization)	Development Addition
1920	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Global Administrator and/or a Jurisdiction Administrator to track any transaction fees charged by a payment processing vendor or EFSP	High	C (Customization)	Development Addition
1930	Fee Admin and Calculation	Assess & Invoice Fees	Ability to calculate filing fees for a Filer when fees vary according to a stated value in the action (e.g., garnishments, estates)	High	G (ConfiGuration)	Need to know the formulas for value of estate and for garnishment
1940	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Clerk ability to view a list of all filing fees during review of a filing including total at the end	High	O (OOTB)	
1950	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to view filing fees prior to submission	High	O (OOTB)	
1960	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to view the total of all filing fees, summarizing fees by case	High	O (OOTB)	
1970	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to view the total fees calculated for a bulk filing submission	High	C (Customization)	development addition
1980	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to view any convenience fees associated to a filing , as authorized by statute, when payment type is selected	High	O (OOTB)	
1990	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer and/or a Clerk to apply payment of the total filing fees due using a Filer's payment method associated with the filing	High	O (OOTB)	
2000	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to pay filing fees using electronic check ("eCheck")	High	O (OOTB)	
2010	Fee Admin and Calculation	Assess & Invoice Fees	Ability to charge a Filer's payment account when the filing is accepted by the Jurisdiction	High	O (OOTB)	
2020	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to verify the availability of a funds via the designated payment method (e.g., credit card) at the time of filing and prevent submission if authorization is not received	Low	O (OOTB)	
2030	Fee Admin and Calculation	Assess & Invoice Fees	Ability to notify a Filer of the insufficient of funds via the selected payment method at the time of filing	Low	N (No)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
2040	Fee Admin and Calculation	Assess & Invoice Fees	Ability to prevent a Filer from submitting a filing if no form of payment or no request for fee waiver exists	High	O (OOTB)	
2050	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Jurisdiction Administrator to configure placing (or not placing) a hold on the Filer's method of payment at the time of filing submission	Low	G (ConfiGuration)	Configuration required
2060	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to view a detailed receipt for each submission itemizing all elements of the submission and case (e.g., line items for each distinct fee for each case included in the filing, summary of fees paid by case, summary of all fees for a filing)	High	G (ConfiGuration)	Configuration required
2070	Fee Admin and Calculation	Assess & Invoice Fees	Ability for the EFM to track the authorization number provided by credit card processing bureau (e.g., subject to PCI compliance requirements) after payment has been processed for a Filer	Medium	O (OOTB)	
2080	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to submit subsequent filings with appropriate fees assessed for the subsequent filings based on file types / case types (e.g., $15 filing fee for family, cross-claims, motions for new trials)	High	O (OOTB)	
2090	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to only be charged for a single document if the document was divided in order to meet any file size limitations	High	F (Future Release)	split doucments are a futrue relase
2100	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to authorize an additional payment amount or request credit back to the payment account (e.g., credit card) if a filing fee is changed during the review process	High	O (OOTB)	
2110	Fee Admin and Calculation	Void Fee	Ability for a Clerk to void and refund fees (e.g., if a filing is accidently accepted by the wrong Jurisdiction) with the Solution supporting the void process through automated reconciliation of any affected funds	High	C (Customization)	automate void with Texas payment portal
2120	Fee Admin and Calculation	Void Fee	Ability for the Solution to allow void and refund reason codes to be configured in the Solution for tracking and reporting purposes	Medium	C (Customization)	Development Addition
2130	Fee Admin and Calculation	Waive Fees	Ability for a Filer to request a fee waiver	High	O (OOTB)	
2140	Fee Admin and Calculation	Waive Fees	Ability for a Global Administrator and/or a Jurisdiction Administrator to define a variety of fee waiver types (e.g., waivers that apply only for a specific case, "blanket" waivers that apply to individuals for all of their filings for a defined period of time)	Low	N (No)	
2150	Fee Admin and Calculation	Waive Fees	Ability for a Clerk to manually contest fee waivers if certain pre-requisite conditions are met by a Filer (e.g., filing of an affidavit of indigency)	High	C (Customization)	Developer Addition
2160	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to create preformatted editable online forms and document templates by jurisdiction (e.g., step-by-step instructions for each filing type that an inexperienced Filer (e.g., pro se Litigant) can follow / answer to create personalized forms which are ready for filing)	High	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes
2170	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to configure / modify screen labels, instructions / help text, and other static content	High	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes
2180	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to configure jurisdiction-specific local rules for submission and document expectations	Low	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
2190	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to create fields and tables for Filers to complete (e.g., free-form, drop-down, narrative text)	High	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes
2200	Forms Assembly	Author Templates and Forms	Ability to render Forms Author designed user interfaces with a mobile-responsive design for template and form-based filings for Filers to create and submit fileable documents	Medium	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes
2210	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to create templates and forms using multiple third party tools (e.g., HotDocs, A2J Author, Docassemble, etc.)	Low	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes
2220	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to configure rules applicable to the filing context (e.g. number of signatures)	Medium	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes
2230	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to configure forms in Forms Assembly for any filing type available in eFileTexas 2.0 and authorized for Forms Assembly by OCA	Medium	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes
2240	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to configure forms that allow multiple signatures on a single form	High	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes
2250	Forms Assembly	Author Templates and Forms	Ability for a Filer to save work in progress when completing a form in Forms Assembly (e.g. save feature, form status, ability to edit and/ or delete information)	High	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes
2260	Forms Assembly	Author Templates and Forms	Ability for a Filer to be prompted during the forms completion process (e.g. ability to edit and/ or delete form, have an "are you sure" feature for submitting sensitive information)	High	3 (3rd Party Integration)	HotDocs document assembly or custom interview processes
2270	Forms Assembly	Author Templates and Forms	Ability for a Filer to electronically submit a filing generated by Forms Assembly	High	C (Customization)	Developer Addition
2280	Forms Assembly	Author Templates and Forms	Ability for a Pro Se Litigant to provide electronic forms of signatures compliant with defined business rules (e.g., acknowledgement, image file of signature, /s/ name, signature pad (including on mobile device)	High	3 (3rd Party Integration)	Integration as part of installation
2290	Forms Assembly	Author Templates and Forms	Ability for the eFileTexas 2.0 Solution to generate an ECF compliant filing document as a result of the forms assembly process	High	3 (3rd Party Integration)	Integration as part of installation
2300	Forms Assembly	Author Templates and Forms	Ability for a Filer to generate user friendly PDF renderings of the filing for submission (should not have extra white space, etc.)	High	3 (3rd Party Integration)	Integration as part of installation
2310	Forms Assembly	Author Templates and Forms	Ability for a Filer to create a dynamically formatted print-to-PDF version of the completed filing (e.g., form that dynamically adjusts spaces for paragraphs and sections as information is added/deleted by a User)	Medium	3 (3rd Party Integration)	Integration as part of installation
2320	Forms Assembly	Author Templates and Forms	Ability for a Filer to access information that enables them to connect with external legal services (e.g., links that redirect Users to Texas Law Help, etc.)	High	3 (3rd Party Integration)	Integration as part of installation
2330	Forms Assembly	Author Templates and Forms	Ability for the Solution to provide a chat feature for a Filer to ask questions (e.g., with a bot)	Low	3 (3rd Party Integration)	Twilio chat integration
2340	Forms Assembly	Author Templates and Forms	Ability for the Solution to expand input capabilities for data capture (e.g., Artificial Intelligence capabilities that leverage natural language, speech, and image processing so Users can use conversational text, speak to microphones, upload pictures, etc.)	Low	N (No)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
2350	Forms Assembly	Author Templates and Forms	Ability for the Solution to leverage artificial intelligence data about diagnosis, triage, possible options, typical outcomes, likelihood of success, available resources, etc. to better guide pro se Litigants through the legal process based on historical information	Low	N (No)	
2360	Redaction	Redact Automatically (AI)	Ability to automatically redact documents based on criteria pre-defined by Global Administrator (e.g., Texas Rules of Civil Procedure - Rule 21C) for consideration by the Filer prior to submission of the filing	High	3 (3rd Party Integration)	An integration with Extract Systems will be configred. This is not currntly available in the OOTB offering
2370	Redaction	Redact Automatically (AI)	Ability to automatically redact documents based on machine learning derived algorithms for the Filer's consideration prior to submission of the filing; *Please describe your experience and plans for the use of artificial intelligence in the application of redaction*	High	3 (3rd Party Integration)	An integration with Extract Systems
2380	Redaction	Redact Automatically (AI)	Ability for a Filer to either accept all redactions or selectively accept redactions recommended by the Solution	High	3 (3rd Party Integration)	An integration with Extract Systems
2390	Redaction	Redact Automatically (AI)	Ability for the Global Administrator to configure auto redaction criteria and rules. *Describe the level of configurability of the redaction solution*	High	3 (3rd Party Integration)	An integration with Extract Systems
2400	Redaction	Redact Manually	Ability for a Filer to manually redact documents prior to submission of the filing	High	O (OOTB)	
2410	Redaction	Redact Manually	Ability for Filer to mask selected data prior to the submission of a filing (e.g., per Texas Rules of Civil Procedure - Rule 21C such as replacing initials or otherwise preventing the juvenile's name from being viewed, such as a black bar overlay)	High	O (OOTB)	
2420	Redaction	Redact Manually	Ability for a Clerk to manually redact documents in Document Access (e.g., in response to a court order)	High	O (OOTB)	
2430	Redaction	Redact Manually	Ability for a Filer to redact information using black or other noticeable color as defined by Global Administrator for the Solution	High	C (Customization)	black is standard. other colors would be a customization
2440	Redaction	Redact Manually	Ability for the Global Administrator to configure whether to display on the redacted document the User who applied the redaction (e.g., the Filer)	Low	C (Customization)	Developer Addition
2450	Redaction	Redact Manually	Ability for a Filer, Clerk or other designated User to make annotations and add notes on specific locations on a page of a document (e.g., similar to using a yellow sticky note on a paper document)	Low	O (OOTB)	
2460	Redaction	Redact Manually	Ability for a Filer, Clerk or other designated User to create private/ personal notes/ comments that only the User adding the note would see, with to remove the note/comment at any time	Low	C (Customization)	Developer Addition
2470	Redaction	Redact Manually	Ability for a Filer, Clerk or other designated User to create notes at the document and/or the case level (e.g., the note would be associated to all documents in the case)	Low	C (Customization)	Developer Addition
2480	Redaction	Redact Manually	Ability for a Filer, Clerk or other designated User to create notes which the originator can share with selected (as chosen by the author) persons; Solution shall allow the author of the note to change whom the note is shared with or remove the note at any time	Low	C (Customization)	Developer Addition
2490	Redaction	Redact Manually	Ability for a Filer, Clerk or other designated User to access copies of documents and print without annotations or comments	Low	O (OOTB)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
2500	Redaction	Preview Redaction	Ability for a Filer to view a redacted document prior to submission of the filing	High	O (OOTB)	
2510	Redaction	Preview Redaction	Ability for a Filer to be prompted with additional fields which may require redaction (using criteria defined in Redact Automatically capability requirements below) when previewing a redacted document prior to submission of the filing	Medium	C (Customization)	Developer Addition
2520	Document Access	Store Documents	Ability for the Solution to store a copy of each document accepted via eFiling and make it publicly available in a statewide portal (if eligible per the document's security designation)	High	O (OOTB)	
2530	Document Access	Store Documents	Ability for the Solution to receive metadata and documents via API's with the local CMS	Medium	C (Customization)	Developer Addition
2540	Document Access	Store Documents	Ability for the Document Access component to store designated metadata (e.g., case number, case name, filing date, litigant names/information, filings, party names) for filed documents available for public access	High	O (OOTB)	
2550	Document Access	Store Documents	Ability for the Document Access component to retrieve documents directly from an API-enabled CMS rather than storing the document in Document Access (e.g., integrated courts using APIs for Document Access similar to those used by the EFM); *In the comments please describe how this requirement would be met.*	High	G (ConfiGuration)	This is done now using functions such as getcase and getimage in various forms with vendors, but it would require access configuration'
2560	Document Access	Store Documents	Ability for a Global Administrator to specify acceptable document formats to store in the document access repository (e.g., PDF, media formats such as video). *In the comments, please describe recommended file formats for efficiency and best practices, including digital evidence / multi-media types.*	High	G (ConfiGuration)	PFDF, DOC, DOCX, XLS*, mp4, wav are all permissible.
2570	Document Access	Store Documents	Ability for a Global Administrator or other designated User to enter, edit, and delete document metadata related to a document in Document Access	High	C (Customization)	Developer Addition
2580	Document Access	Store Documents	Ability for a Clerk to designate documents as private, confidential, or non-public for purposes of public access / security	High	O (OOTB)	
2590	Document Access	Store Documents	Ability for a Clerk to modify a document's security designation (private, confidential, or non-public)	High	G (ConfiGuration)	Configuration required
2600	Document Access	Store Documents	Ability for an authorized User to associate a document with one or more cases (e.g., a notice of appearance filed for multiple charges/cases)	Low	N (No)	
2610	Document Access	Store Documents	Ability for an authorized User to remove a single document from a filing in Document Access without having to remove the entire filing (e.g., if a document is misfiled and the single exhibit needs to be pulled back and replaced with a substitute)	Medium	C (Customization)	Developer Addition
2620	Document Access	Store Documents	Ability for a User to view conditions associated to a document being accessed (e.g., document has private / confidential information, has been categorized as non public), when specific circumstances allow it	High	C (Customization)	Developer Additon
2630	Document Access	Store Documents	Ability for an authorized User to remove a misfiled document from the Document Access Solution and replace with a substitute (e.g., in the event a single document such as an exhibit needs to be removed from a filing in Document Access, but not the entire filing)	Medium	C (Customization)	Pages can be inserted or removed but if want to keep all versions it will need a customization

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
2640	Document Access	Provide Public Access	Ability for the Public to quickly search for documents based on metadata and provide a list of documents meeting that search criteria; Solution shall return a notification if no records are found	High	O (OOTB)	
2650	Document Access	Provide Public Access	Ability for the Public to apply filters (e.g., specific document types in a date range) when searching for document	High	C (Customization)	Developer Addition
2660	Document Access	Provide Public Access	Ability for the Public or other designated User to perform full-text document searches supported by OCR technology. *In the comments please describe the approach to providing full text search capabilities.*	Medium	C (Customization)	Developer Addition
2670	Document Access	Provide Public Access	Ability for the Public to search metadata using advanced search techniques (e.g., Boolean)	High	O (OOTB)	
2680	Document Access	Provide Public Access	Ability for the Public to save a search query (including search parameters) for subsequent reuse (when logged in)	Medium	G (ConfiGuration)	configuration required
2690	Document Access	Provide Public Access	Ability for the Public to preview a document and associated metadata in Document Access without opening the document (e.g., view the document as a thumbnail or in a preview pane to see document content); *In the comments, please describe preview capabilities available.*	High	O (OOTB)	preview capabilitys include thumbnail, document in browser window, and full screen toggle.
2700	Document Access	Provide Public Access	Ability for a Global Administrator to configure watermarks specific to document types that are rendered when a document is viewed in preview mode	Low	C (Customization)	Developer Addition
2710	Document Access	Provide Public Access	Ability for a Jurisdiction Administrator, Global Administrator, or other authorized User to view the case document filing history on demand	High	C (Customization)	Developer Addition
2720	Document Access	Provide Public Access	Ability to restrict the Public from accessing restricted data (e.g., confidential information, sealed documents, or documents subject to nondisclosure orders) to ensure the security and privacy of those records and prevent unauthorized access to non-public court records	High	O (OOTB)	
2730	Document Access	Provide Public Access	Ability for the Public to pay to access a document for a finite time period configurable in the Solution by the Global Administrator per business rules such as JCIT standards (e.g., 30-days) using the Texas.gov payment adaptor	High	O (OOTB)	
2740	Document Access	Provide Public Access	Ability for multiple members of the Public using the Solution to concurrently view the same document	High	O (OOTB)	
2750	Document Access	Provide Public Access	Ability for a member of the Public using the Solution to view multiple documents at one time and to easily navigate between the open documents	High	G (ConfiGuration)	Configuration required
2760	Document Access	Provide Public Access	Ability for the Public to separately view individual attachments or exhibits to a filed document	High	G (ConfiGuration)	Attacchments can be made visible to filers
2770	Document Access	Provide Public Access	Ability for the Public to view a Solution-generated document association (e.g., an answer or exhibit to a motion; a proof of service to the served document)	High	O (OOTB)	
2780	Document Access	Provide Public Access	Ability for the Public to download documents	High	O (OOTB)	
2790	Document Access	Provide Public Access	Ability for the Public to download and save multiple related documents at once (e.g. multi-select from a document list)	High	C (Customization)	Development addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
2800	Document Access	Provide Public Access	Ability for a Global Administrator to configure roles and permissions that only apply to the Document Access Solution/component (e.g., per JCIT Technology Standards, Document Access Configurations including Document Access roles and permissions for roles such as Judges, Attorney on the Case, Visiting Judge, etc.)	High	C (Customization)	Development addition
2801	Document Access	Provide Public Access	Ability for the Public to generate a hyperlink to a specific document. (e.g. to cite to that document from another document)	Medium	C (Customization)	
2810	Document Access	Provide Public Access	Ability for a Global Administrator to add/configure email domains of people and users who get free access to documents as registered Users	High	G (ConfiGuration)	Configuration required
2820	Process Automation and Orchestration	Business Rules & Workflow	Ability to allow a jurisdictional administrator the ability to add and/or configure business rules in the Solution easily through the user interface (according to user roles/permissions) and metadata changes that result from the original activity that must be handled.	High	C (Customization)	Development addition
2830	Process Automation and Orchestration	Business Rules & Workflow	Ability to trigger workflow tasks according to business rules configured in the Solution	High	G (ConfiGuration)	Configuration required
2840	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to allow for the set-up of configurable workflows that include defined process steps and milestones of the common types of events and processes to be performed in the eFiling lifecycle	High	C (Customization)	Development addition
2850	Process Automation and Orchestration	Business Rules & Workflow	Ability for a Jurisdiction Administrator to create individual workflows for each document type and/or filing type	High	C (Customization)	Development addition
2860	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to support workflow task routing (scheduled, time-based, condition based, manual, etc.)	High	C (Customization)	Development addition
2870	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to track and to display all completed workflow tasks and related workflow data (i.e. timestamp, username) to provide a comprehensive view of activity taken on a record	High	C (Customization)	Development addition
2880	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to track statuses of objects configured in the Solution (tasks, documents, etc.)	High	C (Customization)	Development addition
2890	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to associate all configurable workflow tasks and associated permissions to a defined user role	High	C (Customization)	Development addition
2900	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to prevent or allow workflow task execution by a user according to the role-based security assigned to the user	High	C (Customization)	Development addition
2910	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to track statuses of objects configured in the Solution (tasks, documents, etc.)	High	C (Customization)	Development addition
2920	Process Automation and Orchestration	Business Rules & Workflow	Ability for a Jurisdiction Administrator to create and modify workflows within the EFM without IT or vendor support	High	C (Customization)	Development addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
2930	Process Automation and Orchestration	Business Rules & Workflow	Ability for a Filer's screen to dynamically display workflow forms, lists, and functions depending on whether the filing is to initiate a new case or an action on an existing case	High	C (Customization)	Development addition
2940	Process Automation and Orchestration	Business Rules & Workflow	Ability for an authorized User to "disrupt" an in-progress workflow at any point to take a different action on a document, and to resume the workflow	Medium	C (Customization)	Development addition
2950	Process Automation and Orchestration	Business Rules & Workflow	Ability for a Global Administrator to apply workflow changes in real-time for new workflows without altering workflows in progress	High	C (Customization)	Development addition
2960	Process Automation and Orchestration	Business Rules & Workflow	Ability for a Jurisdiction Administrator to require addresses or other contract information for all parties included in a case	Medium	C (Customization)	Development addition
2970	Process Automation and Orchestration	Deliver Required Notifications	Ability to send outbound User notifications to any email service or workgroup product utilizing standard communication protocols	High	O (OOTB)	
2980	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Global Administrator or Jurisdiction Administrator to configure workflows to issue notifications on designated actions (e.g., when the opposing party files, when a Clerk alters a submitted document)	High	C (Customization)	Development addition
2990	Process Automation and Orchestration	Deliver Required Notifications	Ability for the Solution to support configurable notifications (email, alerts) by notification type that are triggered according to configurable business rules	High	C (Customization)	Development addition
3000	Process Automation and Orchestration	Deliver Required Notifications	Ability for a user to effectuate service from the Solution (via email, physical mailings, etc.) and track the date and time services sent and opened (if sent electronically)	High	C (Customization)	Development addition
3010	Process Automation and Orchestration	Deliver Required Notifications	Ability to send a User notifications according to the modes of communication selected by Users at registration (e.g., email, text message)	Medium	O (OOTB)	
3020	Process Automation and Orchestration	Deliver Required Notifications	Ability to use email as the default method for delivering User notifications	High	O (OOTB)	
3030	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Clerk or other designated User to define primary / default and alternate methods for Solution/workflow notifications to be received from among a set of options (e.g., email, text message)	High	C (Customization)	Development addition
3040	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Global Administrator and/or Jurisdiction Administrator to specify which notifications are required and which can be opted-out by a Filer	High	G (ConfiGuration)	Configuration required
3050	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Filer to opt out of filing notifications defined as optional (e.g., email spam)	High	O (OOTB)	
3060	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Filer to define jurisdiction-specific contact information (e.g., email and physical addresses) when setting up an eFiling account; Solution shall send notifications to the account-level contacts if no jurisdiction-specific contact information is provided	High	C (Customization)	Development addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3070	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Global Administrator and/or Jurisdiction Administrator to issue Solution-wide broadcast notifications to online Users as needed	High	C (Customization)	Development addition
3080	Process Automation and Orchestration	Deliver Required Notifications	Ability for the EFM to distribute all notices for a case to all Attorneys filing an appearance on a case	Medium	C (Customization)	Development addition
3090	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Global Administrator and/or Jurisdiction Administrator to configure issuance of an automated notification to a Filer of last-minute requests (e.g., request for a continuance submitted very shortly before a hearing is scheduled, including at the end of a day with the event being the next morning) where the filing may not be processed in the timeframe requested	High	C (Customization)	Development addition
3100	Process Automation and Orchestration	Deliver Required Notifications	Ability for an Attorney or designated service contact to change the attorney noticing status	High	C (Customization)	Development addition
3110	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Filer to apply (and read) electronic / digital signatures to filed documents	Low	O (OOTB)	
3120	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Jurisdiction Administrator to incorporate the use of signature capture devices (e.g., signature pads, signature apps on mobile devices) to obtain point-in-time signatures from persons not registered as Users of the Solution (e.g., a defendant in a courtroom setting)	Low	O (OOTB)	
3130	Process Automation and Orchestration	Apply Electronic Signature	Ability to impose a physical image of a User's signature on a document when the document is “signed” electronically (e.g., Judicial officer's signature on an order)	Low	O (OOTB)	
3140	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Filer or Judicial Officer to sign PDF documents	High	O (OOTB)	
3150	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Filer or Judicial Officer to select from multiple signature options	High	G (ConfiGuration)	Configuration required
3160	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Filer to submit a filing with multiple signatures to be placed on the same document	High	C (Customization)	Development addition
3170	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Judicial Officer to sign multiple documents at one time (e.g., within a single case or multiple cases)	Medium	C (Customization)	Development addition
3180	Process Automation and Orchestration	Apply Electronic Signature	Ability for authorized User roles (e.g., Judicial Officers, Clerks) to authorize a designated User to “sign” a document on their behalf (e.g., one Judicial Officer may be asked to sign an order on behalf of another)	High	G (ConfiGuration)	Configuration required
3190	Process Automation and Orchestration	Apply Electronic Signature	Ability to restrict a User's access to signature images	Low	G (ConfiGuration)	Configuration required

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3200	Process Automation and Orchestration	Data Entry	Ability to provide data validation rules to ensure data validity at the time of entry (e.g., prevent an alpha character to be entered into a field that is configured to have only numeric values entered by the user)	High	G (ConfiGuration)	Configuration required
3210	Process Automation and Orchestration	Data Entry	Ability for the Solution to pre-populate forms for the Filer with pertinent information from the CMS during filing preparation	High	G (ConfiGuration)	Configuration required
3220	Process Automation and Orchestration	Data Entry	Ability for a Global Administrator and/or Jurisdiction Administrator to configure data validations into workflows (e.g., validations beyond those included in the preparation and submission steps)	High	C (Customization)	Development addition
3230	Process Automation and Orchestration	Data Entry	Ability to perform commands using any of the following methods:	High		
3240	Process Automation and Orchestration	Data Entry	Easy access toolbar	High	G (ConfiGuration)	Configuration required
3250	Process Automation and Orchestration	Data Entry	Keyboard	High	O (OOTB)	
3260	Process Automation and Orchestration	Data Entry	Right mouse click	High	O (OOTB)	
3270	Process Automation and Orchestration	Data Entry	Short cut commands	High	G (ConfiGuration)	System Configuration Required.
3280	Process Automation and Orchestration	Data Entry	User defined function keys (hot keys)	High	G (ConfiGuration)	System Configuration Required.
3290	Process Automation and Orchestration	Data Entry	Ability to allow the user to continue to enter data while the Solution is processing a previous transaction (e.g. a background search process)	High	O (OOTB)	
3300	Process Automation and Orchestration	Data Entry	Ability for the Solution to verify all required data fields have been completed prior to exiting a screen.	High	G (ConfiGuration)	System Configuration Required.
3310	Process Automation and Orchestration	Data Entry	Ability for the Solution to verify all required data fields have been completed prior to executing a transaction.	High	O (OOTB)	
3320	Process Automation and Orchestration	Data Entry	Ability for the Solution to advise the user of required data necessary to complete a transaction or report.	High	G (ConfiGuration)	System Configuration Required.
3330	Process Automation and Orchestration	Data Entry	Ability to cut and paste data between fields and across applications.	High	O (OOTB)	
3340	Process Automation and Orchestration	Data Entry	Ability to calculate and display the correct day of the week based on the calendar date for all date fields.	High	O (OOTB)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3350	Process Automation and Orchestration	Data Entry	Ability to provide a feature to undo or cancel an entry or transaction prior to saving it	High	O (OOTB)	
3360	Account Administration	Register Accounts	Ability for a Global Administrator to configure account registration requirements and processes that are specific to a User types (e.g., Attorneys, self-represented litigants, court staff, law enforcement personnel, other agencies and other User types as necessary)	High	G (ConfiGuration)	System Configuration Required.
3370	Account Administration	Register Accounts	Ability to require that a Filer provide a primary email address when setting up a new account, but also the ability to provide secondary email addresses	High	O (OOTB)	
3380	Account Administration	Register Accounts	Ability for a Filer to use self-service method(s) to set up their own User accounts	High	O (OOTB)	
3390	Account Administration	Register Accounts	Ability for a Filer to be notified of required information to complete when registering for an account (e.g., Users identified as a Texas Attorney must have a State Bar of Texas association number entered into their Attorney account)	High	O (OOTB)	
3400	Account Administration	Register Accounts	Ability for a User to use the same account to access any EFSP and/or the EFM	High	C (Customization)	Development addition
3410	Account Administration	Register Accounts	Ability for a Filer or another User to belong to multiple User groups, subgroups, roles, and jurisdiction while being managed with one unique identifier; *In the comments please describe the approach to provisioning security rites rights with potentially overlapping and/or conflicting role profiles.*	High	G (ConfiGuration)	System Configuration Required.
3420	Account Administration	Register Accounts	Ability for a Filer to create one individual account that is concurrently associated with one or more groups/organizations (e.g., an Attorney with a law firm who also performs pro bono work for a court)	High	O (OOTB)	
3430	Account Administration	Register Accounts	Ability for an out-of-state Filer (pro hac vice Attorney) to register for e-Filing using their home state, home-state bar credentials, and their sponsoring attorney's Texas State Bar number	Medium	C (Customization)	Development addition
3440	Account Administration	Register Accounts	Ability for an out-of-state Filer (pro hac vice Attorney) to register for either a firm account and/or a self-registration account	Medium	C (Customization)	Development addition
3450	Account Administration	Register Accounts	Ability for a User (Attorney) to define contact information specific to one or more courts when registering an account	High	C (Customization)	Development addition
3460	Account Administration	Register Accounts	Ability for a Filer (Attorney) to receive a prompting reminder to update the State Bar Registry with their current primary email address	Low	G (ConfiGuration)	System Configuration Required.
3470	Account Administration	Register Accounts	Ability to verify User accounts during account setup (e.g., email/text, CAPTCHA)	High	O (OOTB)	
3480	Account Administration	Administer Accounts	Ability for a Global Administrator (e.g., an administrator supporting operation of the entire Solution) to perform group/organization administrator functions	High	C (Customization)	Development addition
3490	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator or Firm Administrator to set up sub-groups within a group for security administration (e.g., criminal division; civil division; firms)	High	C (Customization)	Development addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3500	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator or Firm Administrator to define, manage and control User rights and authorizations at the group / organization level (e.g., Law Firm, Friend of the Court, Prosecutor's Office)	High	O (OOTB)	
3510	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator to assign administrator responsibilities to multiple Users within an organization, with the ability to set limits for subordinate security administrators (e.g., a law firm administrator can reset a password for employees of that firm, but cannot establish new User profiles)	High	C (Customization)	Development addition
3520	Account Administration	Administer Accounts	Ability for a substitute Global Administrator (e.g., an administrator supporting operation of the entire Solution) to perform group/organization administrator functions in the event the regular group administrator is unavailable (e.g., a law firm group administrator who takes an emergency leave with no backup administrator)	High	G (ConfiGuration)	System Configuration Required.
3530	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator to create group/organization accounts with an unlimited number of people associated to the account	Medium	C (Customization)	Development addition
3540	Account Administration	Administer Accounts	Ability to require unique User names and passwords for each User	High	O (OOTB)	
3550	Account Administration	Administer Accounts	Ability for a User to change/reset their own password via the Solution (without intervention of support staff)	High	O (OOTB)	
3560	Account Administration	Administer Accounts	Ability for a User to retrieve forgotten User names and passwords through the Solution (without the intervention of support staff)	High	O (OOTB)	
3570	Account Administration	Administer Accounts	Ability for a Filer to update their personal contact information, including the method(s) for how notification is to be performed (e.g., email, SMS)	High	O (OOTB)	
3580	Account Administration	Administer Accounts	Ability for the solution to display to the Filer the terms and conditions to receive service electronically when they establish their account	High	G (ConfiGuration)	System Configuration Required.
3590	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator to designate specific groups of Filers (e.g., government filers) who do not pay for filings	Medium	O (OOTB)	
3600	Account Administration	Administer Accounts	Ability for a User to receive a notification when a Jurisdiction Administrator makes changes to that User's account	High	C (Customization)	Development addition
3610	Account Administration	Administer Accounts	Ability for a User to turn off notifications of when a Jurisdiction Administrator makes changes to the User's account	Medium	C (Customization)	Development addition
3620	Account Administration	Administer Accounts	Ability for a Filer to designate multiple secondary contacts at the account level for their notifications	Medium	O (OOTB)	
3630	Account Administration	Administer Accounts	Ability for a User to receive a verification notice (e.g., email , according to the preferences of the User configured in the Solution) when changes are made to accounts to confirm that the account owner has been made (or is aware of) the change	High	C (Customization)	Development addition
3640	Account Administration	Administer Accounts	Ability for a Global Administrator and/ or Jurisdiction Administrator to identify potential Users to purge based on OCA defined criteria (e.g., based on the amount of time since they last logged into the Solution)	High	C (Customization)	Development addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3650	Account Administration	Administer Accounts	Ability for a Global Administrator and/ or Jurisdiction Administrator to send a mass email notification that informs potential Users that they need to log into eFileTexas 2.0 within a predefined time period or otherwise be purged out of the Solution	High	C (Customization)	Development addition
3660	Account Administration	Administer Accounts	Ability for a Global Administrator and/ or Jurisdiction Administrator to purge User accounts (e.g., delete, deactivate, or suspend)	High	O (OOTB)	
3670	Account Administration	Administer Accounts	Ability to retain all history of any User account that has been purged for a predefined period consistent with the State of Texas Records Retention laws (refer to https://www.tsl.texas.gov/slrm/rrs4#sec2.1)	High	O (OOTB)	
3680	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator to view status of filings submitted by all Users in their administration group	High	G (ConfiGuration)	System Configuration Required.
3690	Account Administration	Manage Attorney & Firm Accounts	Ability for a Jurisdiction Administrator to establish Jurisdiction accounts with the authority to create individual User accounts for that jurisdiction	High	C (Customization)	Development addition
3700	Account Administration	Manage Attorney & Firm Accounts	Ability for a Firm Administrator to assign Users (e.g., Attorneys, Filers) to a firm even if that User is already associated with another firm or office	High	C (Customization)	Development addition
3710	Account Administration	Manage Attorney & Firm Accounts	Ability for a Firm Administrator to remove a User (Attorney) from a Firm	High	C (Customization)	Development addition
3720	Account Administration	Manage Attorney & Firm Accounts	Ability for a User (Attorney) to view a list of cases which are currently or have been previously associated with a service contact	High	C (Customization)	Development addition
3730	Account Administration	Manage Attorney & Firm Accounts	Ability for a Firm Administrator to query the Solution by Filers, Attorneys, and Service Contact (e.g., view query results in the Solution, export query results to .csv or .xlsx, print query results, create standard reports, etc.), including but not limited to the following:	High	C (Customization)	Development addition
3740	Account Administration	Manage Attorney & Firm Accounts	List of all Attorneys by associated cases and locations	High	C (Customization)	Development addition
3750	Account Administration	Manage Attorney & Firm Accounts	List of all Attorneys by Service Contact	High	C (Customization)	Development addition
3760	Account Administration	Manage Attorney & Firm Accounts	List of all Service Contacts by associated cases	High	C (Customization)	Development addition
3770	Account Administration	Manage Attorney & Firm Accounts	Ability for a Firm Administrator to have administrative permissions across multiple locations of a firm (e.g., Super Firm Administrator). For example, the ability to reassign Service Contacts by location, including the ability to reassign multiple cases at one time to filers or attorneys outside of one Firm Location's Service Contact List. For example, some cases include several firm locations and the reassignment must be able to be done efficiently rather than manually / individually, which is currently time consuming.	High	C (Customization)	Development addition
3780	Account Administration	Manage Attorney & Firm Accounts	Ability for a Firm Administrator to populate a user's previously captured profile information when adding service contacts to the firm master list	Medium	C (Customization)	Development addition
3790	Account Administration	Manage pro se Litigants	Ability for a Pro se Litigant to register and administer their account without providing an attorney of record	Medium	O (OOTB)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3800	Account Administration	Manage pro se Litigants	Ability for a Pro se Litigant to be added as a Service Contact to a case (e.g., search and select by email address)	High	O (OOTB)	
3810	Account Administration	Manage pro se Litigants	Ability for a Global Administrator to set parameters (e.g., number of days since closure of last active filing) that cause the Solution to automatically close the pro se litigant's account	Medium	G (ConfiGuration)	System Configuration Required.
3820	Integration	General	Ability to provide a fully integrated Solution inclusive of eFiling, Forms Assembly, Document Access, and Redaction capabilities that provides a seamless experience for the user	High	C (Customization)	Development addition
3830	Integration	General	Ability to log the execution and timing of all interface transactions and data exchanges	High	O (OOTB)	
3840	Integration	General	Ability to provide APIs to enable Forms Assembly authoring tools provided by multiple third party vendors (e.g., HotDocs, A2J Author, Docassemble, etc.) for groups such as Texas Legal Help to create templates and forms for pro se Litigants	Medium	C (Customization)	Development addition
3850	Integration	General	Ability to include API(s) to support the generation of citations using jurisdiction specific template	Low	C (Customization)	Development addition
3860	Integration	General	Ability to automate and monitor for API errors (outbound or inbound)	High	G (ConfiGuration)	
3870	Integration	General	Ability to integrate with asynchronous methods where practical and provide visibility to API/transaction status to identify problems (e.g., if a filing is stuck somewhere in the workflow)	High	C (Customization)	Development addition
3880	Integration	General	Ability to notify the Global Administrator after an OCA specified number of retries related to integration with 3rd party Solutions	High	C (Customization)	Development addition
3890	Integration	General	Ability for a jurisdiction to interface its own forms management software (e.g., Adobe Lifecycle Designer)	Low	C (Customization)	Development addition
3900	Integration	Integrate with CMS / DMS	Ability for the eFileTexas 2.0 Solution to integrate with the CMS to establish jurisdiction specific EFM parameters (e.g., allowable code values, court level workflows)	Low	C (Customization)	Development addition
3910	Integration	Integrate with CMS / DMS	Ability to provide an API that a CMS vendor can call to send a document to the eFileTexas 2.0 Solution. *In the comments describe how this requirement would be met.*	High	C (Customization)	Development addition
3920	Integration	Integrate with CMS / DMS	Ability to allow preparation and submission of filings while the relevant CMS is not available and flag the filing as such in the clerk review queue	High	C (Customization)	Development addition
3930	Integration	Integrate with CMS / DMS	Ability to persist submissions in a queue for later processing in the event the CMS is down, and automatically complete the submission when the CMS is back up	High	C (Customization)	Development addition
3940	Integration	Integrate with CMS / DMS	Ability for a Global Administrator to maintain EFM parameters necessary for an individual Jurisdiction CMS to interface/connect to the EFM without the need for support from the EFM vendor and without the need to modify EFM code (where practical). *In the comments, please describe limitations related to establishment of such integration*	High	C (Customization)	Development addition
3950	Integration	Integrate with CMS / DMS	Ability to use confidentiality status of record from CMS when granting Public or other designated Users access to case documents in Document Access	High	G (ConfiGuration)	System Configuration Required.
3960	Integration	Integrate with CMS / DMS	Ability for Document Access to intake CMS generated documents	Medium	G (ConfiGuration)	System Configuration Required.

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3970	Integration	Integrate with CMS / DMS	Ability for the EFM to provide a CMS with any available filing metadata (e.g., document type, filing date, acceptance date, party information, attorney of record) when the filing is accepted	High	G (ConfiGuration)	System Configuration Required.
3980	Integration	Integrate with CMS / DMS	Ability for the EFM to provide the CMS with filing date stamp details	High	O (OOTB)	
3990	Integration	Integrate with CMS / DMS	Ability to integrate Filer payment and receipt processing with CMS. *In the comments please describe how this requirement would be met*	High	O (OOTB)	
4000	Integration	Integrate with CMS / DMS	Ability for a Clerk to view select case information configured to pass through from an integrated CMS when reviewing a document	Low	C (Customization)	Development addition
4010	Integration	Integrate with CMS / DMS	Ability for a Public user to view CMS case information (e.g., Register of Actions) in Document Access (if CMS is integrated)	Low	O (OOTB)	
4020	Integration	Integrate with CMS / DMS	Ability for the Public or other authorized User to view all documents associated with a consolidated case based on case consolidation data from CMS	Low	O (OOTB)	
4030	Integration	Integrate with CMS / DMS	Ability for a Clerk to view jurisdiction-specific reference code descriptions which may be different than the descriptions presented to the Filer (e.g., case region, case type, filing code, document type (exhibit, motion, letter))	High	O (OOTB)	
4040	Integration	Integrate with CMS / DMS	Ability for a Filer to view the assigned Judicial Officer and court dates as provided by the CMS	High	C (Customization)	Development addition
4050	Integration	Integrate with CMS / DMS	Ability to automatically update document metadata in Document Access when a Clerk updates information in a CMS for a case that also exists in eFileTexas 2.0 (e.g., party information)	Low	G (ConfiGuration)	System Configuration Required.
4060	Integration	Integrate with CMS / DMS	Ability for a Clerk and/ or Filer to enter a link of a document to a case event (e.g., a motion hearing) and for the Solution to provide the CMS with a record of the linkage at the time of acceptance	High	C (Customization)	Development addition
4070	Integration	Integrate with CMS / DMS	Ability to use CMS case consolidation data to prevent a Filer from filing new documents into cases which are inactive after the consolidation	Medium	O (OOTB)	
4080	Integration	Integrate with CMS / DMS	Ability to use relevant case information from the CMS when performing validations of filing information provided by the Filer during filing preparation, submission and Clerk review (e.g., validating that a judgment exists before a garnishment is filed)	High	G (ConfiGuration)	System Configuration Required.
4090	Integration	Integrate with CMS / DMS	Ability to include CMS data (where applicable) when providing validation failure messages to the Filer	High	C (Customization)	Development addition
4100	Integration	Integrate with CMS / DMS	Ability to distribute notices created by the CMS (e.g., calendar settings) to parties per registered notification parameters supplied by the Filer in the eFileTexas 2.0 Solution	Low	C (Customization)	Development addition
4110	Integration	Integrate with CMS / DMS	Ability to send Fee Waiver requests to the CMS and receive waiver approval/rejections from the CMS	Low	N (No)	
4120	Integration	Integrate with External EFSP	Ability for a Global Administrator to maintain EFM parameters necessary for the EFSP to connect to the EFSP without the need for support from the eFileTexas 2.0 Solution vendor and without the need to modify EFM code	High	C (Customization)	Development addition
4130	Integration	Integrate with External EFSP	Ability for a Global Administrator to terminate an EFSP service at the discretion of OCA	High	C (Customization)	Development addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4140	Integration	Integrate with External EFSP	Ability for a Global Administrator to suspend an EFSP service at the discretion of OCA	High	C (Customization)	Development addition
4150	Integration	Integrate with External EFSP	Ability to provide OCA with an OCA approved certification program with which EFSPs must comply before connecting with the EFM	High	C (Customization)	Development addition
4160	Integration	Integrate with External EFSP	Ability for EFSPs to submit filings to the EFM conformant with the existing ECF 4.01 standard with extensions	High	G (ConfiGuration)	System Configuration Required.
4170	Integration	Integrate with External EFSP	Ability for a EFSPs to submit filings to the EFM conformant with the ECF 5.0 standard	Medium	F (Future Release)	Available prior to cutover.
4180	Integration	Integrate with External EFSP	Ability to not limit the number of connected EFSPs	High	O (OOTB)	
4190	Integration	Integrate with External EFSP	Ability to require all EFSPs (vendor provided and 3rd party EFSP) to utilize the same APIs to integrate with the EFM	High	O (OOTB)	
4200	Integration	Integrate with External EFSP	Ability to provide sample messages to help EFSP's comply with filing message format requirements of the EFM	High	O (OOTB)	
4210	Integration	Integrate with External EFSP	Ability to provide an API to receive a ECF message from the CMS to trigger an expunction in the EFM and document access	High	G (ConfiGuration)	System Configuration Required.
4220	Integration	Integrate with External EFSP	Ability to persist submissions in a queue for later processing in the event the e-Filing Manager (EFM) is down, and automatically complete the submission when the EFM is back up	High	O (OOTB)	
4230	Integration	Integrate with External EFSP	Ability for a Filer (Direct Filer) (e.g., process servers, district attorneys) to submit filings directly to the EFM conformant with the ECF 4.01 standard	High	O (OOTB)	
4240	Integration	Integrate with External EFSP	Solution EFM vendor shall provide EFSPs access to a test environment that mirrors the web services or other interface methods available in the production environment, and a standard set of EFSP certification scenarios for the EFSP to execute to the satisfaction of OCA and the eFileTexas 2.0 Solution vendor	High	O (OOTB)	
4250	Integration	Integrate with Redaction	Ability for a Filer to utilize redaction capabilities fully integrated into the eFileTexas 2.0 Solution user interface, including seamless integration with any third party redaction tool(s) that may be included in the eFileTexas 2.0 Solution. *Please describe the redaction capabilities of the proposed Solution in the comments.*	High	3 (3rd Party Integration)	Integration is part of installation.
4260	Integration	Integrate with Payment Adaptor	Ability to integrate with Texas.gov for use by registered Users for payment by credit card or electronic check ("eCheck") of filing fees and other applicable fees incurred through the eFileTexas 2.0 Solution	High	3 (3rd Party Integration)	Integration is part of installation.
4270	Integration	Integrate with Payment Adaptor	Ability to integrate with the Texas.gov payment processor using the Transaction Processing Engine (TPE) Direct method	High	3 (3rd Party Integration)	Integration is part of installation.
4280	Integration	Integrate with Payment Adaptor	Ability to capture all fees for applicable accepted filings	High	O (OOTB)	
4290	Integration	Integrate with Payment Adaptor	Ability to not accept any court document for filing unless the required filing fees have been assessed or a fee waiver is in effect	High	O (OOTB)	
4300	Integration	Integrate with Payment Adaptor	Ability for a Global Administrator to configure a variable convenience fee for Document Access search transactions based on the payment method (e.g., credit card, eCheck)	High	G (ConfiGuration)	System Configuration Required.

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4310	Reporting	Provide Standard Reporting	Ability for eFileTexas 2.0 to report on information contained in or generated by all Solution components (e.g., EFM, State EFSP, Document Access, etc.)	High	3 (3rd Party Integration)	Integration is part of installation.
4320	Reporting	Provide Standard Reporting	Ability for an authorized Users to generate standard reports at the jurisdiction or statewide levels	High	C (Customization)	Development addition
4330	Reporting	Provide Standard Reporting	Ability for a Jurisdiction Administrator to create/configure detailed reports of filing metadata and workflow data using reporting tools provided within the eFileTexas 2.0 Solution	High	G (ConfiGuration)	System Configuration Required.
4340	Reporting	Provide Standard Reporting	Ability for a Global Administrator or Jurisdiction Administrator to limit content shown on reports to data only from the jurisdiction requesting the report	High	O (OOTB)	
4350	Reporting	Provide Standard Reporting	Ability for a Clerk or other authorized User to access configured reports available in the eFileTexas 2.0; the vendor shall provide a minimum set of reports including but not limited to the following indented report types specified in the requirements below:	High		
4360	Reporting	Provide Standard Reporting	Daily, Weekly, and Monthly Court Payments Report for a given date/month	High	O (OOTB)	
4370	Reporting	Provide Standard Reporting	Itemized court payments listing for specified parameters (e.g., date range)	High	G (ConfiGuration)	System Configuration Required.
4380	Reporting	Provide Standard Reporting	Batch summary deposit listing	High	G (ConfiGuration)	System Configuration Required.
4390	Reporting	Provide Standard Reporting	Detail reports enumerating collected amounts with breakdown across different fee types	High	G (ConfiGuration)	System Configuration Required.
4400	Reporting	Provide Standard Reporting	Itemized envelope and filing listing for a given date range	High	C (Customization)	Development addition.
4410	Reporting	Provide Standard Reporting	Daily report of all transactions and associated fees	High	O (OOTB)	
4420	Reporting	Provide Standard Reporting	Filing quality reports (e.g., Time to Disposition, Return for Correction by Reason, Return for Corrections by Firm)	High	G (ConfiGuration)	System Configuration Required.
4430	Reporting	Provide Ad Hoc Reporting	Ability for authorized Users to generate ad hoc reports based on unique, user-defined queries	Medium	C (Customization)	Development addition
4440	Reporting	Provide Ad Hoc Reporting	Ability for real time or near real time data access for ad hoc reporting	Medium	C (Customization)	Development addition
4450	Reporting	Provide Ad Hoc Reporting	Ability to create prescheduled, periodic and real-time custom-query reports and analytics of workload (e.g., workload - number of each type of documents filed and totals; performance - time between submission and receipt of filings)	High	C (Customization)	Development addition
4460	Reporting	Provide Ad Hoc Reporting	Ability for a Global Administrator and/or Jurisdiction Administrator to expose filing metadata and workflow data to third-party reporting tools	High	3 (3rd Party Integration)	Integration is part of installation.
4470	Reporting	Provide Ad Hoc Reporting	Ability for a Jurisdiction Administrator or other designated Users to generate payment-based reports (e.g., daily, weekly, monthly financial reports of fee, assessments, payments, etc., and totals by fee type to support reconciliation processes)	High	G (ConfiGuration)	System Configuration Required.
4480	Solution Administration	Federated Identity Access Management	Ability to support federated identity access management across OCA and the Texas courts	High	G (ConfiGuration)	System Configuration Required.
4490	Solution Administration	Enforce Security	Ability for eFileTexas 2.0 to include a role of Global Administrator with rights to administer Solution functions and configuration applicable to all jurisdictions	High	G (ConfiGuration)	System Configuration Required.

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4500	Solution Administration	Enforce Security	Ability for eFileTexas 2.0 to include a role of Jurisdiction Administrator with rights to administer Solution functions and configuration applicable only to a single jurisdiction	High	G (ConfiGuration)	System Configuration Required.
4510	Security	Enforce Security	Ability for a Global Administrator or Jurisdiction Administrator to maintain a federated, delegated security model to define, manage and control (e.g., add, assign, revoke) user rights and authorizations (e.g., the information any individual user can view, edit, delete) via role-based security profiles. *Describe / list all features and limitations.*	High	G (ConfiGuration)	System Configuration Required.
4520	Security	Enforce Security	Ability for a Global Administrator or Jurisdiction Administrator to define security profiles either for roles or individuals (e.g., review clerks can view all documents in all queues for their court; a particular Clerk who can only view documents assigned to a particular judge)	High	G (ConfiGuration)	System Configuration Required.
4530	Security	Enforce Security	Ability to assign an individual User to multiple security profiles. *Describe in the comments any limitations for Users assigned to multiple profiles.*	High	C (Customization)	Development Addition
4540	Security	Enforce Security	Ability to establish a hierarchy for security profiles	High	C (Customization)	Development Addition
4550	Security	Enforce Security	Ability for a Jurisdiction Administrator to perform / manage security and Solution functions only for their local User base (e.g., court staff and clerks), filings, and documents	High	C (Customization)	Development Addition
4560	Solution Administration	Enforce Security	Ability for a Global Administrator to define field and data element level permissions	High	C (Customization)	Development Addition
4570	Solution Administration	Enforce Security	Ability for a Global Administrator to define transaction and function level permissions	High	C (Customization)	Development Addition
4580	Solution Administration	Enforce Security	Ability for a Global Administrator to define screen or window level permissions	High	C (Customization)	Development Addition
4590	Solution Administration	Enforce Security	Ability for a Global Administrator to alter the security of an individual content item (e.g., document, case, etc.)	High	C (Customization)	Development Addition
4600	Solution Administration	Enforce Security	Ability for a Global Administrator to alter the security of a content group or aggregation as a unit	High	C (Customization)	Development Addition
4610	Solution Administration	Enforce Security	Ability for a Global Administrator to deploy security changes immediately without needing to restart the Solution	High	O (OOTB)	
4620	Solution Administration	Enforce Security	Ability for an authorized User to securely access non-public documents or data based on user role and permissions configured in the Solution	High	O (OOTB)	
4630	Solution Administration	Enforce Security	Ability for Clerk to apply security controls to individual documents. *In the comments please describe how this requirement is met.*	Medium	C (Customization)	Adding passwords, wrappers, or encrypting documents would need to be added.
4640	Solution Administration	Enforce Security	Ability for the eFileTexas 2.0 Solution to secure electronic transmission of data and documents between all external Solutions and the EFM	High	C (Customization)	Development addition.
4650	Solution Administration	Enforce Security	Ability for the eFileTexas 2.0 Solution to encrypt data in transit and data at rest at least at TLS 1.3 and based on rules such as document types, sensitive data, etc.	High	G (ConfiGuration)	System Configuration Required.
4660	Solution Administration	Enforce Security	Ability for a Global Administrator to define rules that govern password format and strength (e.g., must be ### characters, must include combination of character types, cannot use User ID as password, cannot use own name, phone number); Solution shall automatically validate entered password	High	O (OOTB)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4670	Solution Administration	Enforce Security	Ability to require that passwords be changed at defined intervals (e.g., 180 days); Solution shall issue prompts to Users to reset passwords as the time period approaches	High	O (OOTB)	
4680	Solution Administration	Enforce Security	Ability to provide multi-factor authentication	High	G (ConfiGuration)	System Configuration Required.
4690	Solution Administration	Enforce Security	Ability to create a unique account identifier for Users that does not include the User's email nor any other data that may change in the future	High	O (OOTB)	
4700	Solution Administration	Enforce Security	Ability to issue an email and/or SMS alert to the User for which a login attempt failed	High	G (ConfiGuration)	System Configuration Required.
4710	Solution Administration	Enforce Security	Ability to provide Users the ability to logout at any time from any screen	High	G (ConfiGuration)	System Configuration Required.
4720	Solution Administration	Enforce Security	Ability for Jurisdiction Administrators to configure the duration of the timeout setting that ends a User's session; the Jurisdiction Administrator shall have the ability to configure different settings for different roles (e.g., Filer, Clerk) within their jurisdiction	High	G (ConfiGuration)	System Configuration Required.
4730	Solution Administration	Enforce Security	Ability for a Global Administrator and Jurisdiction Administrator to immediately “terminate” a User’s session	High	G (ConfiGuration)	System Configuration Required.
4740	Solution Administration	Enforce Security	Ability for a Global Administrator and Jurisdiction Administrator to lock Users out of the Solution	High	G (ConfiGuration)	System Configuration Required.
4750	Solution Administration	Enforce Security	Ability to include measures for the detection and prevention of unauthorized access intrusion attempts, including notifying OCA of abnormal activities (e.g., geolocating threats). *Describe how this requirement would be met*	High	C (Customization)	We will configure the Intrusion Prevention System that will be inline behind the firewall to alert OCA by email
4760	Solution Administration	Administer Certificates	Ability to provide a digital certificate that meets OCA defined requirements (e.g. use public key infrastructure (PKI) technology, be X.509 compliant, include an image of a Users electronic signature, etc., as defined in Local Government Code 118.011(3)(B) and Government Code 51.318(b)(7))	High	G (ConfiGuration)	System Configuration Required.
4770	Solution Administration	Monitor Solution Health	Ability to support redundancies which allow for continued Solution access in the event of a Solution component outage (e.g., clustering, replication)	High	O (OOTB)	
4780	Solution Administration	Monitor Solution Health	Ability to automatically failover to a replicated / backup Solution at any time	High	O (OOTB)	
4790	Solution Administration	Monitor Solution Health	Ability to save in-process data entry during a Solution outage	High	O (OOTB)	
4800	Solution Administration	Execute Quality Control Procedures	Ability for a Clerk, Global Administrator, or Authorized User to generate reports of login accounts and last time a User logged in within their security context	High	C (Customization)	System Configuration Required.
4810	Solution Administration	Execute Quality Control Procedures	Ability to configure multiple environments, including Production, Preproduction, and Development environments at a minimum. *Describe your proposed environments and what they will be used for, including the environment where Training and Testing would occur.*	High	O (OOTB)	
4820	Solution Administration	Execute Quality Control Procedures	Ability for the test environment to include reliable, current configuration for EFSP's to successfully test integrations against new EFM features	High	O (OOTB)	
4830	Solution Administration	Execute Quality Control Procedures	Ability for the test environment to include current infrastructure patch levels for EFSP's to successfully test integrations against new EFM features	High	O (OOTB)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4840	Solution Administration	Administer Configuration	Ability for a Global Administrator and/ or Jurisdiction Administrator to configure and change online screen forms without vendor assistance	High	C (Customization)	Development addition.
4850	Solution Administration	Administer Configuration	Ability for Global Administrator to configure eFileTX2.0 to support the full structure of Texas Courts (e.g., Supreme, Appeals, District, County-Level, Justice and Municipal Courts)	High	G (ConfiGuration)	System Configuration Required.
4860	Solution Administration	Administer Configuration	Ability for a Global Administrator to define statewide filing elements (e.g., case types, document types, document titles)	High	O (OOTB)	
4870	Solution Administration	Administer Configuration	Ability for a Clerk to view and edit allowable case / document sub-types values specific to their jurisdiction (note: clerks can only view/edit the court-related components)	Low	N (No)	
4880	Solution Administration	Administer Configuration	Ability for a Global Administrator or Jurisdiction Administrator to update tables and lists without impacting filings already in process or completed; the Solution will use version control to maintain referential integrity for data recorded previous to the table update	High	O (OOTB)	
4890	Solution Administration	Administer Configuration	Ability to include an integrated forms management tool for creating, editing, and incorporating security policies (e.g., Adobe).	High	G (ConfiGuration)	System Configuration Required.
4900	Solution Administration	Administer Configuration	Ability for a Global and/or Jurisdiction Administrator to be able to self-manage configuration. *Please describe in the comments the features available to be self-managed, what role(s) can manage them.*	High	O (OOTB)	
4901	Solution Administration	Administer Configuration	Ability for the Contractor and Global Administrator (and no other roles) to manage which configuration items can be self-managed by other roles.	High	O (OOTB)	
4910	Solution Administration	Administer Configuration	Ability for EFSP's to receive configuration updates (adds, changes and deletes) of only those configuration entries that have changed (i.e., only pull configuration changes rather than the entire configuration code library). *Describe methods to inform EFSPs of configuration changes (e.g., notifications, subscriptions to push configuration changes), methods for EFSPs to query for changes, and any performance implications and/or limitation in the comments.*	High	C (Customization)	System Configuration Required.
4920	Solution Administration	Administer Configuration	Ability for a Global Administrator or Jurisdiction Administrator to utilize a user interface to administer tables, rules and other configuration settings within their security context.	High	G (ConfiGuration)	System Configuration Required.
4930	Solution Administration	Administer Configuration	Ability to account for state and jurisdiction specific holidays and weekends when calculating dates and durations	High	G (ConfiGuration)	System Configuration Required.
4940	Solution Administration	Administer Configuration	Ability for a Jurisdiction Administrator to define a jurisdiction-specific calendar	High	C (Customization)	Development addition
4950	Solution Administration	Administer Configuration	Ability to account for state and jurisdiction specific holidays and weekends when calculating dates and durations	High	O (OOTB)	
4960	Solution Administration	Administer Configuration	Ability to synchronize with a central Solution clock	High	G (ConfiGuration)	System Configuration Required.
4970	Solution Administration	Administer Configuration	Ability to automatically adjust the Solution time for daylight savings time on all Solution components	High	O (OOTB)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4980	Solution Administration	Administer Configuration	Ability to utilize a Master Time Clock that utilizes Network Time Protocol (NTP) in order to ensure consistent and accurate time throughout all Solution components	High	G (ConfiGuration)	System Configuration Required.
4990	Solution Administration	Perform Audit	Ability for a Global Administrator and/or Jurisdiction Administrator to query and view a record of all transactions completed in the eFileTexas 2.0 Solution including the associated user ID, date, time and transaction type	High	O (OOTB)	
5000	Solution Administration	Perform Audit	Ability for a Global Administrator and Jurisdiction Administrator to generate Solution administration and performance reports (e.g., activity, inactivity, audit trails, effectiveness, reject rates, Solution metrics)	High	O (OOTB)	
5010	Solution Administration	Perform Audit	Ability for a Global Administrator or Jurisdiction Administrator to export reports and query results of audit information to external products (e.g., Excel) for further processing	High	O (OOTB)	
5020	Solution Administration	Perform Audit	Ability to log all User activities and actions (e.g., submission, acceptance/rejection, forwarding for further action, log on, log off, failed access, adds/changes/deletions, chain of custody, filing processing date and timestamps for User activity, notifications sent)	High	O (OOTB)	
5030	Solution Administration	Perform Audit	Ability to assign a unique identifier for each filing transaction and associate that identifier to each case included in the filing	High	O (OOTB)	
5040	Records Management	Archive Records	Ability for a Global Administrator to manage archiving and deletion of existing metadata and transaction data from the Solution per JCIT Technology Standards and OCA Record Retention Policy	High	G (ConfiGuration)	System Configuration Required.
5050	Records Management	Retain Records	Ability for a Jurisdiction Administrator to specify the retention of all versions of documents (e.g., as submitted, as accepted with file stamps and any updates)	Low	O (OOTB)	
5060	Records Management	Seal / Expunge Records	Ability for Clerk to seal documents and restrict access only to designated Users	High	O (OOTB)	
5070	Records Management	Seal / Expunge Records	Ability for a Filer or Clerk to seal individual or multiple documents in one action (e.g., all documents in a case)	High	O (OOTB)	
5080	Records Management	Seal / Expunge Records	Ability for a Clerk to unseal individual or multiple documents in one action (e.g., all documents in a case)	High	O (OOTB)	
5090	Records Management	Seal / Expunge Records	Ability for a Clerk to view an indicator of "under seal" status to alert the reviewer when processing sealed documents	High	G (ConfiGuration)	System Configuration Required.
5100	Records Management	Seal / Expunge Records	Ability for a Filer to file documents "under seal" and for the Clerk to view that status when reviewing the filing	High	G (ConfiGuration)	System Configuration Required.
5110	Records Management	Seal / Expunge Records	Ability for a Global Administrator or other designated User to manually request the Solution expunge all documents related to a case based on case identifiers	High	G (ConfiGuration)	System Configuration Required.
5120	Records Management	Seal / Expunge Records	Ability for Document Access to automatically expunge, seal, or unseal applicable documents in Document Access based on a request generated by the case owner in a CMS transaction	Medium	C (Customization)	Development addition
5130	Records Management	Seal / Expunge Records	Ability for a designated User (e.g., case owner) to submit a request from a CMS to Document Access that requests a case and all associated documents is expunged, sealed, or unsealed	High	C (Customization)	Development addition

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
5140	Records Management	Seal / Expunge Records	Ability for a Global Administrator to request the Solution to expunge multiple documents based on common meta data parameters	Medium	C (Customization)	Development addition
5150	Records Management	Seal / Expunge Records	Ability for a Jurisdiction Administrator to configure whether eFileTexas 2.0 allow filing into a sealed cases within the given jurisdiction	Low	G (ConfiGuration)	System Configuration Required.
5160	Records Management	Seal / Expunge Records	Ability for a Clerk or Global Administrator to receive a notification when an expungement is complete (e.g., for expunctions originating from the Clerk, notifications to OCA staff)	High	G (ConfiGuration)	System Configuration Required.
5170	General (Global)	Browser and OS Support	Ability to be browser-based and accessible by any browser (e.g., Chrome, Internet Explorer, Firefox, Safari and Edge versions back to n-2) running on any operating Solution platform	High	O (OOTB)	
5180	General (Global)	Browser and OS Support	Ability to not require any browser plug-ins, extensions, or add-in applets to function	High	O (OOTB)	
5190	General (Global)	Compatibility	Ability to support HTTPS and automatically redirect requests for HTTP to HTTPS	High	O (OOTB)	
5200	General (Global)	Compatibility	Ability to support sending SFTP envelopes to CMS (e.g., batch process via web services)	High	O (OOTB)	
5210	General (Global)	Compatibility	Ability to support SOAP protocols for exchanging information via web services with ECF 4 and ECF 5	High	O (OOTB)	
5220	General (Global)	Compatibility	Ability to support REST and/or JSON styles for exchanging filings via web services in the future (e.g., in the event that ECFx will support REST services). *Describe any roadmap initiatives to support REST and JSON in the future.*	Low	O (OOTB)	We support ECF, RESTful and JSON
5230	General (Global)	Standards	Ability to not prevent end-Users from concurrently starting or accessing other applications from their computers	High	O (OOTB)	
5240	General (Global)	Standards	Ability to not require the deployment of end-User workstation / client-side components or workstation setting changes to use the Solution (e.g., general compatibility with any workstation running internet browser versions "n-2")	High	O (OOTB)	
5250	General (Global)	Standards	Ability to support web services using auto-generation with XML schemas. *Describe any limitations or constraints.*	High	C (Customization)	Development addition
5260	General (Global)	Standards	Ability to maintain compliance with Texas Administrative Code (TAC) 202 (security standards), 206 (accessibility standards for websites), 213 (accessibility standards for anything else), and WCAG 2.1. *Describe methods to provide reports to verify compliance.*	High	C (Customization)	Development addition
5270	General (Global)	Standards	Ability to maintain compliance with LegalXML ECF 4.01 Texas extension and maintain currency with the standard as approved by OCA. *Describe the recommended approach to transition from ECF 4.01 to ECF 5.*	High	G (ConfiGuration)	Since ECF 5.0 is not backwards compatible to ECF 4.01, ECF 4.01 specs wil not interoperate successfully. Services will need to be configured to process 4.01 and 5.0 as everything is migrated over time to 5.0.
5280	General (Global)	Device Support	Ability for a Jurisdiction Administrator to designate computers for public use to create and submit filings at the Clerk's office or courthouse	High	O (OOTB)	
5290	General (Global)	Device Support	Ability for a Flier to initiate the scanning of documents from the filing screens at public use terminals that do not require the document to be saved to the computer's local drive (or are automatically deleted when the User's session has ended)	High	O (OOTB)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
5300	General (Global)	Device Support	Ability for a User to perform all functions (e.g., prepare and submit filings, review filings, access documents) from any computer and supported mobile device with internet access	High	O (OOTB)	
5310	General (Global)	Device Support	Ability to utilize single and / or dual monitors	High	O (OOTB)	
5320	General (Global)	Device Support	Ability to provide remotely accessible by the vendor through a VPN connection (or other means of secure remote access) to provide remote support	High	O (OOTB)	
5330	General (Global)	Device Support	Ability to support multiple input methods based on User device and preference (e.g., mouse, keyboard, touchscreen)	High	O (OOTB)	
5340	General (Global)	Online Help	Ability for a Jurisdiction Administrator to configure jurisdiction specific screen and field level help which is displayed to a User for Solution transactions where the jurisdiction context is established (e.g., after a Filer selects the jurisdiction for a filing)	High	C (Customization)	Development addition.
5350	General (Global)	Online Help	Ability for a Global Administrator and/or Jurisdiction Administrator to incorporate videos with online documentation for help or training purposes	Medium	G (ConfiGuration)	System Configuration Required.
5360	General (Global)	Online Help	Ability for the eFileTexas 2.0 Solution help menus to be consistent with industry-standards for online help structures (e.g., contents and index, searching, "about", report a problem)	High	C (Customization)	Development addition.
5370	General (Global)	Online Help	Ability to inform Users of "What's New" (revisions, additions, deletions) when accessing documentation which has been updated	High	O (OOTB)	
5380	General (Global)	Search	Ability for a User to use a type-ahead feature for drop-down lists (e.g. user enters "te" and cursor jumps to drop-down list values starting with "te")	High	O (OOTB)	
5390	General (Global)	Search	Ability for a User to perform searches using individual or multiple fields (e.g., case number (full or partial), attorney, party names); Solution shall allow the use of wild cards and provide the ability to designate whether partial matches are acceptable or not	High	O (OOTB)	
5400	General (Global)	Search	Ability for User to search for exact matches within target datasets (e.g., court - search based on detail information within a court; court type - search based on detail information across all courts within a county's District Courts; state - search based on detail information across all courts within the State)	High	C (Customization)	Development addition.
5410	General (Global)	Search	Ability to search across document files and within documents using keywords, wild cards and Boolean operands (and, or, not); Solution shall provide the ability to designate whether partial matches are acceptable or not	High	C (Customization)	Development addition.
5420	General (Global)	Search	Ability for a User to sort the search results	High	O (OOTB)	
5430	General (Global)	Search	Ability for a User to initiate a subsequent search on the search results set	High	G (ConfiGuration)	System Configuration Required.
5440	General (Global)	Search	Ability for a User to abort a search	High	O (OOTB)	
5450	General (Global)	User Interface	Ability to use standard word processing capabilities (e.g., word wrap, spell check, backspace, delete, undo, insert, overtype) in free-form text fields	High	O (OOTB)	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
5460	General (Global)	User Interface	Ability to designate fields for which data is required to be entered; Solution shall highlight fields which must be completed and prevent Users from proceeding to the next screen until valid information is entered	High	G (ConfiGuration)	System Configuration Required.
5470	General (Global)	User Interface	Ability to define required relationships between screen-form data fields (e.g., if data is entered in one field, data must exist or be entered in the related field)	High	G (ConfiGuration)	configuration determined through business practices
5480	General (Global)	User Interface	Ability to automatically display additional fields based on entered data (e.g., the next line for additional data is displayed when one line is filled in or when a User selects an option from a list)	High	C (Customization)	Development addition.
5490	General (Global)	User Interface	Ability to provide multi-language support in the filing interface with the ability to support additional languages in the future (e.g., ANSI standard, special character support)	High	C (Customization)	Development addition.
5500	General (Global)	User Interface	Ability for Jurisdiction Administrators to include contact information in error messages custom for their jurisdiction	Medium	G (ConfiGuration)	System Configuration Required.
5510	General (Global)	User Interface	Ability to prevent errors or repetitive requests from inadvertent multiple clicks by a User	High	G (ConfiGuration)	System Configuration Required.
5520	General (Global)	User Interface	Ability to highlight errors (e.g., data entry, submission failures) and prompt User for correction	High	G (ConfiGuration)	System Configuration Required.
5530	General (Global)	User Interface	Ability to display visual indicators to denote that a transaction is in progress	High	O (OOTB)	
5540	General (Global)	User Interface	Ability to display visual indicators to denote that a transaction is complete	High	G (ConfiGuration)	System Configuration Required.
5550	General (Global)	User Interface	Ability to display visual indicators to indicate the categorization of common document types in work queues	High	G (ConfiGuration)	System Configuration Required.
5560	General (Global)	User Interface	Ability to display a list or thumbnail views of documents, with the ability for Users to switch between thumbnail view and list view	High	C (Customization)	Development addition.
5570	General (Global)	User Interface	Ability for Users to change the size of the thumbnail (e.g., such as with the multiple icon sizes in a Windows Explorer folder)	High	C (Customization)	Development addition.
5580	General (Global)	User Interface	Ability to provide a full screen mode for document review (e.g., during filing clerk review and any subsequent access of a document)	High	O (OOTB)	
5590	General (Global)	User Interface	Ability for a Global Administrator to tailor screens which support the specific needs of each filer type (e.g., bulk filers may be distinctly different from single-case filer screens, pro se litigants)	High	C (Customization)	Development addition.
5600	General (Global)	User Interface	Ability to place common information in a consistent location on each screen (e.g., current date and time, screen name or identifier code, error messages)	High	G (ConfiGuration)	through discovery and business process this can be determined.
5610	General (Global)	User Interface	Ability to use a single convention(s) for common data types across screens (e.g., date format)	High	O (OOTB)	
5620	General (Global)	User Interface	Ability for the eFileTexas 2.0 to dynamically adapt Solution screens to reflect the functions and features consistent with the User's rights and privileges (e.g., functions not authorized are either not displayed or are inaccessible)	High	O (OOTB)	
5630	General (Global)	User Interface	Ability for a Jurisdiction Administrator to configure jurisdiction-specific menus or toolbars	Low	C (Customization)	Development addition.
5640	General (Global)	User Interface	Ability for a Global Administrator to associate definitions or additional with specific text or areas on a screen which will be displayed when a User hovers over with the mouse	High	G (ConfiGuration)	System Configuration Required.

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
5650	General (Global)	User Interface	Ability to open new windows without blocking the functions needed when that window is open (e.g., a document viewer window should not block the clerk review tools)	High	O (OOTB)	
5660	General (Global)	User Interface	Ability to set parameters which limit searches (e.g., the number of hits to be displayed from a search or the length of time a search can take); Solution shall have the ability to alert the User to a large result set with a prompt to continue or end	High	G (ConfiGuration)	System Configuration Required.
5670	General (Global)	User Interface	Ability for individual Users to customize or adapt the display windows to best suit their preferences and screen sizes (e.g., minimize or maximize menus, folder views, document sizes)	High	C (Customization)	Development addition.
5680	General (Global)	User Interface	Ability to restore a User's display based on their previous login session	High	C (Customization)	Development addition.
5690	General (Global)	User Interface	Ability for a Global Administrator to configure toolbars that provide quick access to common and frequently used functions	High	G (ConfiGuration)	System Configuration Required.
5700	General (Global)	User Interface	Ability for Users to customize toolbar(s) and include only those items which they want to display	High	G (ConfiGuration)	System Configuration Required.
5710	General (Global)	User Interface	Ability to copy and paste information within the Solution or across third party Solutions (e.g., if a case number needs to be manually input to search for a document or case in the CMS)	High	O (OOTB)	
5720	General (Global)	User Interface	Ability for the eFileTexas 2.0 solution to follow a “responsive design” approach, with screens that automatically adapt to render properly on different devices and form factors (e.g., desktop, laptop, tablet, smart phone)	High	C (Customization)	current systsem is adaptive but would need to see what configurations are necessary

5.4.5 Offeror Response to Statement of Work

There are two areas for Offeror Responses

1. **SOW Text**
   - Acceptance of the provided SOW Text (check the respective checkbox), or
   - Any proposed changes to the specified text (check the respective checkbox)

   Note: OCA prefers conformance with the provided SOW Text. Proposed changes by Offeror will impact evaluation scoring of the subject offer.

2. **Additional Offeror Responses**

   To assist in the evaluation of the offer, this section allows Offeror to elaborate on the proposed approach the Offeror will follow. Offeror shall insert additional lines as required when responding to specific instructions in this section. In addition, Offeror shall provide deliverable samples from previous projects as outlined in the following sections as appropriate.

   - Note: This material may be used as additional input to the SOW included in the final contract.

   Accepted responses for Section 5.3.1 (Key Implementation Services Members), Section 5.5 (Implementation Services), and Section 5.6 (Production Services) shall be included in Exhibit 2 (Statement of Work) of the MSA.

Icon has provided responses to the Statement of Work sections as requested.

5.5 Implementation Services

5.5.1 Project Initiation

5.5.1.1 SOW Text

OCA expects that the Contractor will work with necessary parties to implement an expedient, seamless and minimally disruptive transition of services from the incumbent

eFileTexas vendor to the Contractor's environment in advance of the current eFileTexas contract expiration. The Contractor will be responsible for transition planning activities for eFileTexas 2.0.

Table 22: Project Initiation Deliverable Expectations

<table>
<tr><th colspan="2">High Level Activities</th></tr>
<tr><td colspan="2">This deliverable requires completion of the following steps:
1. Project Preparation – Conduct planning meetings with OCA and other stakeholders as required to confirm the schedule, plans, documentation, and other logistics for the project.
2. Conduct Project Kickoff – Conduct a project kickoff meeting with key stakeholders within thirty (30) days of contract execution. The kickoff meeting will provide an overview of the project objectives, plans, project scope and schedule, introduce the Contractor’s project team and roles and responsibilities, and outline project start-up procedures.
3. Perform Ongoing Project Management Responsibilities – To be defined in the Project Management Plan, includes providing weekly project plan and schedule updates, weekly status reporting, weekly status meetings, risk and issue monitoring, and integrated change management activities. In addition to weekly status meetings, the Contractor’s Project Manager shall participate in Project Steering Committee meetings and JCIT quarterly meetings as required.
4. Develop Deliverable Expectation Documents (DEDs) - Define the approach and criteria for satisfactory completion and approval of all deliverables defined in the contract.</td></tr>
<tr><th>Associated Artifacts</th><th>Major Components</th></tr>
<tr><td>Project Management Plan</td><td>Contractor shall create and maintain a Project Management Plan that describes the overall project management approach and schedule throughout the lifecycle of the eFileTexas 2.0 project. The Project Management Plan will define the following (at a minimum):
1) Project Kickoff Materials – Contractor shall provide project kickoff materials and facilitate a project kickoff meeting to share key project information for stakeholders to have a thorough understanding of the project, a clear sense of key dates and deliverables, and an appreciation for the project’s goals to achieve expected business outcomes.
2) Risk and Issue Management Plans & Logs – Contractor shall create and maintain a Risk and Issue Management Plan, Escalation Plan, and Risk and Issue Register (which must comply with the requirements of the Texas Project Delivery Framework).
3) Integrated Change Management Plan – The Plan will outline the process for identifying, evaluating, authorizing and implementing proposed changes in requirements, schedule, and budget, as well as Solution design and acceptance criteria.
a) For change management, a change is defined as any modification within the scope of the RFO that is reasonably related to the SOW content including any content in all SOW appendices, such as the Requirements Traceability Matrix</td></tr>
</table>

High Level Activities	
	(RTM). If a potential change is identified by a member of the project team, including the Contractor or OCA (or other internal/external stakeholder), then the change management process outlined below shall be used to initiate a formal Change Request. Similarly, whenever significant deviations are anticipated or reported against implementation processes, schedule or cost, a Change Request is required to re-baseline the project. b) Change Requests can be initiated at any stakeholder level and may or may not require a formal contract change depending upon its scope. Either OCA or Contractor may initiate a Change Request for a desired process change, additional funding, and/or a longer timeline as conditions may change on the project over time. c) During the project, all potential Change Requests must be brought to the Steering Committee (SC) that is composed of key stakeholders from the Texas Judiciary and OCA executive staff and facilitated by the OCA Project Manager. The SC serves as the "Change Control Board" for this project. The Change Request must contain at a minimum, the description of the change, the schedule to implement the change, and a fixed price based on the number of hours required. d) The SC is responsible for making decisions on approval/rejection and subsequent prioritization and timing of all Change Requests. e) When the SC reviews Change Requests, the SC may approve the Change Request, consider alternatives, direct the project team to do more research, reject the Change Request and continue the project, or reject the Change Request and request a different change. The SC considers whether the Change Request undermines or supports the project benefits or the project alignment with OCA's major goals, strategy, budget, and/or direction. **4) Project Deployment Plan (e.g., transition planning to finalize phased rollout details)** – a) Contractor shall conduct transition planning workshops with OCA during project initiation and planning activities in order to finalize the approach for deploying the Solution into production, including possible phasing strategies, site specific considerations, and benefits and risks of strategy alternatives. Key deployment planning activities required by the Contractor include (at a minimum): i) Conduct a review of the current environment. ii) Contractor shall perform analysis of phasing alternatives with OCA, EFSP's, Courts, and CMS vendors. iii) Identify high risk transition areas and impact, develop mitigation strategies, and identify recommended mitigation

High Level Activities	
	actions and report results to OCA related to the phasing decisions. iv) Any ongoing risks, based on finalization of phasing approach, must be tracked in the Risk Log. v) Any decisions that impact the schedule must be documented in the project schedule. vi) Any cutover consideration(s) must be documented in the final Cutover Plan. b) Using the information gathered through the transition planning workshops, the Contractor will develop the Project Deployment Plan. i) Contractor will develop, update, maintain, and revise as necessary a detailed Project Deployment Plan for the selected phasing alternative that includes the approach, activities, milestones, schedule and schedule dependencies, risk identification and mitigation strategies, and pre-cutover readiness assessment activities. c) Once OCA has approved the Project Deployment Plan, the Contractor shall finalize the project schedule that outlines the key project phases, tasks, activities, dependencies, budgeted hours, assigned resources, and deliverables for deployment of the statewide eFiling system. The schedule shall clearly define estimated resource hours associated with each task. (See Step 5 below). d) Contractor shall also provide a finalized project organization chart. **5) Baseline Project Schedule** – Contractor shall create and maintain a work plan and schedule, including Gantt chart(s) and a project calendar in Microsoft Project that is developed and maintained in accordance with industry best practices. The work plan will reflect any changes from the baseline plan originally agreed to during the project initiation and be updated/published on a weekly basis. The project schedule will include the following components (at a minimum): a) A consolidated view of the activities, activity descriptions, and activity durations assigned to stakeholders and Contractor. b) Resources (OCA, Other Stakeholders, Contractor, and third-party vendors) assigned to each activity and their required level of effort. c) A list of all required project deliverables tied to the appropriate project milestones. d) Identification of all key Project Milestones. e) Deliverable approval periods compliant with OCA's DED process as described in the following section Deliverable Expectation Documents.

High Level Activities

f) A critical path analysis and reporting process.

6) Configuration Management Plan – Contractor shall create a Configuration Management Plan that describes the following (at a minimum):

a) Approach for managing programming changes, third-party software, and configuration settings made in the system, including testing, final approval of deployment, and deployment.

b) Documentation of the system configuration, including references to system tables where appropriate.

c) History of configuration changes, including references to system-provided change logs if available.

d) Detailed specifications for all system changes/customizations.

e) Contractor shall create a Configuration Items Log that captures configuration items in a register, including identified baselines under control that complies with the requirements of the Texas Project Delivery Framework.

7) Stakeholder Outreach and Communication Plan – Contractor shall describe its approach for outreach to eFileTexas 2.0 stakeholder groups to ensure a successful transition to the Solution and after cutover is complete. The plan applies specifically to stakeholder groups that are outside of OCA but are impacted by eFileTexas 2.0. The plan must include the following elements (at a minimum):

a) Summary of Plan: Description of the methodology or approach that the Contractor will use to engage with the identified stakeholder groups.

b) Communication Channels: Information related to the type of communication channels that the Contractor intends to use.

c) Tools or measures to assess progress: Information on how the Contractor intends to measure progress and any tools required.

d) Established timeline: Timeline for outreach activities.

e) Stakeholder Engagement Table: submit the following table of proposed methods of outreach and involvement for various stakeholders**:**

Table 23: Stakeholder Outreach Plan Template

Methods of Engagement	Stakeholder	Purpose	Level of Involvement
<Insert methods of engagement> For example: Recorded webinar	<Identify stakeholder group>	<Insert purpose of the engagement> For example: Awareness of	<Estimate duration of involvement > For example: Recorded webinar

High Level Activities				
		For example: Texas Bar Association	new State EFSP protocols	available one month prior to go live
	▪	▪	▪	▪
	▪	▪	▪	▪
	▪	▪	▪	▪
Deliverable Expectation Documents (DEDs) for all Deliverables	The Contractor must develop the project deliverables in a mutually agreed upon format using a Deliverable Expectations Document (DED) that is approved by OCA. No work will be performed on any deliverable associated with a payment milestone until all DEDs have been approved in writing by the OCA Project Manager. As each project Deliverable is submitted, the Contractor must include a copy of the associated DED as the cover sheet. All contract deliverables are given a unique number and tied to the project schedule. The dates for deliverable submissions, review comments, and resubmissions will be tracked. OCA's project SharePoint site will be utilized as the repository of record for deliverables. Deliverables prepared by the Contractor shall be subject to the review and approval of the OCA Project Manager or designee. The Contractor must be prepared to provide walkthroughs of deliverables in order to facilitate the OCA deliverable reviews. OCA will review, approve, or require modification to the Contractor's deliverables. Approval shall be granted if the deliverable conforms to the requirements of the DED. OCA shall notify the Contractor within ten (10) business days of its receipt of a Deliverable, or as otherwise agreed to by OCA and Contractor, of its approval or rejection, with the reason(s) for rejection and what the Contractor must do so that the deliverable will be acceptable. The Contractor shall have five (5) business days, or as otherwise agreed to by OCA, to correct the deliverable and resubmit the deliverable for OCA review. The Contractor must take into account the review process when developing schedules, project plans, and timelines. Specific deliverables and acceptance criteria will be finalized based on Offeror response to the RFO solicitation and any subsequent negotiations. The Contractor shall provide any formal meeting presentation materials no less than five (5) business days ahead of the actual meeting for OCA review.			
Deliverable Acceptance Criteria	▪ Project Kickoff Meeting has been held.			

High Level Activities	
	▪ All DEDs, the Risk Management Plan, Issue Management Plan, Integrated Change Management Plan, Project Deployment Plan, Project Schedule, Configuration Management, Plan, and the Stakeholder Outreach and Communication Plan are all complete, correct and comply with the contract requirements. ▪ Ongoing Project Management activities are established Note: OCA must formally approve each document before final acceptance of the deliverable.

Offeror SOW Text Response (select one by entering an 'X' in the appropriate box):	
X	(1) Offeror accepts *SOW Text* for this section as provided.
	(2) Offeror requests alternate language for this SOW section (see below).
Offeror's alternate proposed SOW Text (provide if option 2 selected above):	

5.5.1.2 Additional Offeror Response:

Offeror shall describe the following:

1. Project Management Approach - The Offeror should describe their approach to overall project management and integration of all activities required by the scope of work. This section should include:
   a. Project Management Methodology (and compliance with Project Management Institute standards).
   b. Communications Management Approach.
   c. Issue Resolution Methodology.
   d. Risk Management Methodology:
      i. Describe approach to risk management.
      ii. The Offeror shall identify key implementation risks and risk mitigation strategies of the Solution based on prior Offeror experiences.
      iii. Offeror shall provide a sample risk register that will be used throughout project implementation to identify, monitor and control risk.

e. Quality Management Methodology:

   i. Description of quality management approach and methodology.

   ii. Proposed metrics for reporting on quality throughout the project.

f. Change Control Methodology:

   i. Recommendations on governance and how the Offeror will help ensure the required structure and processes are in place and supported throughout the implementation.

Project Management Approach

Icon acknowledges that the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK) is the gold-standard for project management methodologies. To this end, Icon has developed a methodology that closely aligns with the five (5) major process groups: initiation, planning, monitor and control, execution, and closeout. This methodology is repeatable across projects, and it ensures that Icon's customers have the same best in-class experience every time they implement one of its products.

Initiation Phase

Initiation is the beginning of the project's lifecycle. In this stage, Icon works collaborative with the customer to confirm the scope, objectives, and deliverables that were defined in the sales process will suit the customer's needs. To accomplish this, the Icon Project Manager walks through an 8-step process guide with the customer. Some examples of activities include, but are not limited to:

- *Sales to Professional Services Handoff Call,*
- *Building Out Initial Project Artifacts,*
- *Reviewing the Contract and Statement of Work*

The customer's level of involvement differs per task, but they can be assured that the work that the Icon Project Manager is doing is all intended to establish the right footing for the project and ensure it flows smoothly from the very beginning of its lifecycle all the way to the end.

Planning Phase

The Planning Phase is one of the busiest times in the project lifecycle. This is where the both the Icon and Customer Project Managers work collaboratively to build a project schedule that contemplates schedules and resource availability. This is also the phase of the project that it is formally "kicked off," and an on-site meeting is scheduled to once more review, and confirm, the project's scope, objectives, and deliverables. Icon will also take this opportunity to review its implementation methodology with the customer to formalize roles and expectations for both sides.

Execution Phase

The Execution Phase of the project occurs after a project schedule has been finalized, and agreed to, by both parties. In this phase, Icon's resources are officially engaged and begin working with the customer to implement their chosen solution according to the project schedule.

For each activity, the customer will have a dedicated resource working strictly on their project. This is done to ensure that there is continuity throughout the entire project. Further, it gives the customer's Subject Matter Experts (SMEs) direct points of contact that they can discuss specific concerns with and since the resources are only dedicated to the customer's project, they can expect to receive prompt answers that contemplate the customer's situation (which they are intimately familiar with).

Monitor and Control Phase

The Monitor and Control Phase of the project runs parallel with the Planning and Execution phases of *the project. That is, during these periods, the Icon Project Manager is accountable to the customer and performing key activities that help drive the project to a successful Go-Live. These activities include, but are not limited to:*

- *Conducting Regularly Cadenced Status Meetings,*
- *Providing Regular Status Reports,*
- *Performing Issue and Risk Management,*
- *Performing Schedule Management,*
- *Performing Change Management.*

The Activities performed here are all performed according to the guidelines set forth in this Project Management Plan. Hence, the customer is already aware of how issues during the project will be identified and addressed. The same is similar of risks. Again, the above is not an exhaustive list of the activities that the Icon Project Manager will perform to drive the project to closeout. Icon's methodology is flexible, which means it is adaptable, and can easily be tailored to the needs of its clients if needed.

While this phase may seem easy, controlling a project is just as important as executing the work. Through proper and proactive monitoring and controlling, the Icon Project Manager anticipates issues with the project and responds appropriately to keep the project on-track and in-line with both Icon's standards and the customer's expectations.

Project Closeout Phase

The Project Closeout Phase formally verifies that all processes and activities defined at the beginning of the project are complete and in accordance with the customer's quality expectations. It formally establishes that the project is complete and that no more work is required to meet the objectives of the project. To accomplish this, Icon reflects on the artifacts collected during the monitor and control phase and ensures that all issues and outstanding items identified throughout the project are resolved and/or complete. Icon will not call a project complete until all items have been delivered and a project closeout report has been officially delivered and accepted.

Project Communications Management Plan

This section identifies the methods that will be used to communicate any updates related to the project. The purpose of this Communications Management Plan is to ensure that all stakeholders are aware of the way that information will be disseminated throughout this project. The hope is that this increases collaboration, ensures the right stakeholders are receiving the right updates, and maximizes the chances of a successful project.

Electronic Communication (E-Mail)

Electronic Communication (E-Mail) will be used frequently throughout the entire project to coordinate activities and provide status reports. It is considered the main form of contact between Icon and the customer. All project-related e-mails must contain the name of the customer in the e-mails subject line. An example is provided below:

EXAMPLE: Fake City, FL – Status Update

This is required to ensure that all e-mails are routed into the appropriate folder(s) of the recipients at Icon. Icon is not responsible for the lack of a timely responsible to an e-mail sent with an improper subject line. Timely response is defined as within 1 business day of e-mail receipt.

Telephone Communication

Telephone Communication will be used throughout the project to host status meetings, facilitate any discussions necessary to keep the project moving, and for any urgent items. It is highly encouraged that phone communication is leveraged over e-mail to report any issues or concerns that are critical and timeline sensitive. Icon's Project Manager will provide the customer with his or her cell phone for *communication after normal business hours.*

Face to Face Meetings

At times, it may be necessary for Icon and the Customer to meet face-to-face to discuss the project and its activities. When this happens, it is expected that the Customer provide a meeting space.

Communications Matrix

The Communication Matrix below provides a high-level overview of the cadenced communications that the customer expect. If more (or less) is desired, this can be negotiated during the Planning phase of the project and amendments to this matrix may be made following the Change Control Plan procedure outlined in this document.

Project Issue Management Plan

Icon believes that Issue Management is a collaborative effort between itself and the customer. This means that the Icon project manager is not singularly responsible for identifying all the risks to the project. This approach makes sense because Icon does not have any insight into the customer's operations—only the customer can call out the effects of any changes that occur on their side. That said, all issues are maintained in an issue log that is accessible by both Icon and the customer.

As part of its comprehensive issue management plan, Icon provides all its resources access to the issue log so that they may contribute any issues that they are encountering on their end of the project. The customer is encouraged to do the same with its Subject Matter Experts. When issues are identified and require intervention that will impact other areas of the project, the Icon project manager is responsible for initiating a meeting with the customer's project manager to implement a corrective action plan that satisfies both parties. This corrective action plan may require approval by the Project Steering Committee, following the process outlined in the Change Control Management section of this document.

Issue Log

The Issue Log will be hosted in a site accessible to both the Customer and Icon. This location will be determined during the Project Planning phase.

Project Risk Management Plan

There is no such thing as a risk-free project. There are risks to the cost of every project, its schedule, scope, or resources. Therefore, it is necessary to have a plan in place to identify, assess, respond, and eliminate (or accept) all risks. This is a joint activity between Icon and the Customer, as risks involve environmental factors at the customer site that Icon may not be able to accurately identify and assess. Effective risk management involves five (5) key processes: identify, qualitative risk analysis, plan risk responses, implement risk responses, and control risk responses. The approach to each of these is identified below.

Risk Identification

Risk Identification is the process of determining events that could potentially impact the overall health of the project. Initially, risks are identified through a collaborative exercise between both Icon's and the customer's project managers. Both project managers are encouraged to think of similar projects and what risks those encountered. All risks brainstormed during this process are added to the risk register for assessment.

It is important to remember that Risk Identification does not end after this collaborative exercise. Risk Identification continues throughout the project lifecycle, and both parties are actively encouraged to add items to the risk register if they feel they represent any impact to the project's success.

Qualitative Risk Analysis

Qualitative Risk Analysis is the process of qualitatively determining what the impact of the identified risk is going to be. This is done through estimating the impact to either the project's scope, schedule, cost, or quality. We do this by estimating what the probability of the risk is and simultaneously assigning it an impact value, which gives us a risk value.

An impact value of 1 represents the lowest possible impact, and an impact value of 5 represents a severe impact. This means that a risk value of 5 is the highest possible risk value.

Plan Risk Responses

Risk response planning occurs after a risk has been identified, categorized, and assigned a risk value. The first step in the risk response process is to identify a response strategy. A response strategy is a high-level categorization of how both sides will react to the identified risk. Response strategies include transferring the risk, control and mitigate (accept), and eliminating the risk. Once a response strategy has been identified and agreed to by both project managers, it is the responsibility of the Icon project manager to submit a corrective action plan (if required). Any corrective action plan that results in a change to the project's baselines will require the approval of the Project Steering Committee and must go through the process outlined in the Change Control Plan.

Implement Risk Response Plan

Once a corrective action plan has been approved by the Project Steering Committee following the process outlined in the Change Control Plan, it is the responsibility of the Icon's project manager to make appropriate updates to any relevant artifacts, like the project schedule, and direct Icon's project resources to activities identified in the corrective action plan. If a plan requires action from the customer, it is the customer's responsibility to direct their own project resources to the proper activities in order to execute the response plan.

Control Risk Responses

Since risk responses either likely require modifying the work breakdown structure, it is the responsibility of the Icon project manager to monitor and control the corrective action plan that is being executed. This means that the same monitor and control activities that are part of Icon's standard project management approach must be followed, such as regular status reports on the progress of the plan and its success (or failure). If a corrective action plan is not having the impact intended, it is the Icon project manager's responsibility to identify this and course correction with a new corrective action plan.

Risk Register

The Risk Register will be created in collaboration with the customer's project manager and be stored in a location accessible by all parties. A sample of the information contained in the risk register is provided below.

Project Change Control Management Plan

Change Control is the process through which all changes to the project's baselines are controlled and executed. This is necessary to ensure that that the triple constraints of the project (cost, scope, and time) are maintained and do not grow disproportionate to the other, which will ultimately impact the overall quality of the project. Icon's Project Manager will monitor and control change throughout the project by undertaking the following activities:

- *Logging all change requests in a change log,*
- *Evaluating the impacts of proposed changes,*
- *Re-baselining the project schedule and other documents as appropriate.*

Changes may occur for any reason, and it is the responsibility of both parties to document the changes they are requesting in the change log using a Change Order form.

Changes that are approved by the Project Steering Committee will automatically result in the re-

baselining of the project. This may require interaction from the customer's project manager to ensure that proposed changes do not impact the customer's constraints.

2. Provide a preliminary, high-level schedule for the eFileTexas 2.0 project:
    a. Method used to estimate the project level of effort and schedule. Include tools and techniques used to obtain the estimates. Identify the source or basis of the estimates used to develop the Offeror's offer and the level of uncertainty and risk associated with the estimates.
    b. Offeror shall submit an implementation schedule and high-level work plan to meet the requirements and deliverables of this solicitation.
    c. The schedule should identify an overall timeline, with key start dates and end dates for major project milestones, including any phased deployments proposed and assumptions that correspond to the Deployment Plan identified in the response section below.
    d. The work plan shall provide tasks, durations, key deliverables, and key milestones that correspond to the project schedule, deployment approach proposed, and deliverables proposed, as detailed in other sections of the offer.
    e. Key schedule / work plan considerations:
        i. Provide an integrated, milestone-level and detailed (level 2 WBS minimum) work plan, including Gantt chart of the Proposed Project Schedule that includes all services requested in this RFO.
        ii. Schedule milestones should correspond with the deliverable milestones required in this SOW.
        iii. Offeror must include reasonable and incremental review periods for Deliverables Expectations Document (DED's) and deliverables that allow sufficient time for both OCA review and Offeror to update deliverables based on OCA review feedback.
        iv. Offeror must clearly plan for and indicate slack/contingency in the project schedule to account for potential delays or issues.

Icon has included a preliminary project schedule on the following pages.

Implementation Services

	State	Task Description	Status	Planned Start Date	End Date	Duration	Comments
1		Project Summary		07/06/20	04/04/22	456d	
2		Phase 1 Project Initiation		07/06/20	09/30/20	63d	
3		Project Preparation	Not Started	07/06/20	07/22/20	13d	
4		Project Kickoff materials		07/06/20	07/22/20	13d	
5		Risk Management Log		07/06/20	07/22/20	13d	
6		Issues Management Log		07/06/20	07/22/20	13d	
7		Integrated Change Management / Control Plan		07/06/20	07/22/20	13d	
8		Project Deployment Plan		07/06/20	07/22/20	13d	
9		Environment review		07/06/20	07/22/20	13d	
10		Analysis of phased user depolyment		07/06/20	07/22/20	13d	
11		Rollout mitigation plan		07/06/20	07/22/20	13d	
12		Risk log review/update		07/06/20	07/22/20	13d	
13		Finalize Project Schedule		07/22/20	07/22/20	1d	
14		Project Org Chart		07/06/20	07/22/20	13d	
15		Baseline the Project Schedule		07/23/20	09/25/20	47d	
16		Identify Activities		07/23/20	09/25/20	47d	
17		Identify Resources		07/23/20	09/25/20	47d	
18		List deliverables		07/23/20	09/25/20	47d	
19		Identify Project Milestones		07/23/20	09/25/20	47d	
20		Mark deliverable approval periods		07/23/20	09/25/20	47d	
21		Configuration Mangement Plan		07/23/20	09/25/20	47d	
23		Stakeholder Outreach		07/06/20	09/30/20	63d	
26		Project Kickoff Meeting		07/23/20	07/23/20	1d	
27		DED Review Sign-off		09/30/20	09/30/20	1d	Deliverable Expectation Documents
35		Ongoing Project Mgmt Activities established		07/22/20	07/22/20	1d	
36		Phase 2 Analysis & Design		10/01/20	02/03/21	90d	
37		Phase 2 Analysis & Design Kick-off mtg		10/07/20	10/07/20	1d	
38		Design Activities		10/01/20	10/01/20	1d	
43		Requirements Traceability Matrix		10/01/20	10/01/20	1d	
44		Application Design Sessions		10/01/20	11/20/20	37d	
45		Concept Design Documentation		11/30/20	01/29/21	45d	

	State	Task Description	Status	Planned Start Date	End Date	Duration	Comments
59		DED Review Sign_off		10/01/20	02/03/21	90d	
63		Phase 3 Execute		02/04/21	06/23/21	100d	
64		Phase 3 Execution Kick-off Meeting		02/09/21	02/09/21	1d	
65		Develop Solution Implementation Plan		02/04/21	06/09/21	90d	
76		Help Desk Activities		04/08/21	06/23/21	55d	
92		Review Solution Implementation Plan		04/05/21	06/18/21	55d	
134		Cutover Planning		06/07/21	06/22/21	12d	
146		DED Review Sign-off		06/23/21	06/23/21	1d	
155		Phase 4 Testing		06/24/21	09/15/21	60d	
156		Phase 4 Testing Kick-off Meeting		06/24/21	06/24/21	1d	
157		System Testing		06/25/21	08/20/21	41d	
160		Security / Intrusion Testing		09/10/21	09/10/21	1d	
161		User Acceptance Testing (UAT)		08/23/21	09/10/21	15d	
162		Stress Performance Testing		08/02/21	09/10/21	30d	
163		Regression Teting		07/30/21	09/10/21	31d	
164		DED Review Sign-off		09/15/21	09/15/21	1d	
168		Phase 5 Training		02/08/21	12/17/21	225d	
169		Phase 5 Training Kick-off Meeting		09/16/21	09/16/21	1d	
170		Training Plan		02/08/21	06/25/21	100d	
171		Training Curriculum		02/08/21	06/25/21	100d	
172		Training Materials		02/08/21	09/10/21	155d	
173		Training Calendar		06/11/21	06/11/21	1d	
174		Train the Trainer Delivery		09/20/21	12/17/21	65d	
182		Phase 6 Cutover		12/20/21	03/10/22	59d	
183		Phase 6 Cutover Kick-off Meeting		12/20/21	12/20/21	1d	
184		As-Built Sysytem Ducumtation		01/03/22	02/03/22	24d	
195		Cutover Completion Report		12/20/21	03/01/22	52d	
198		DED Review SIgn-off		02/27/22	03/10/22	10d	
202		Phase 7 Project Closeout		03/01/22	04/04/22	25d	
203		Phase 7 Project Closeout / Production Services Kick-off Meeting		03/15/22	03/15/22	1d	
204		DED Review SIgn-off		03/01/22	04/04/22	25d	
212		Production Services		03/01/22	02/28/23	261d	
213		Recurring Activities		03/01/22	02/28/23	261d	

Implementation Services

	State	Task Description	Status	Planned Start Date	End Date	Duration	Comments
1		**Project Summary**		**07/06/20**	**04/04/22**	**456d**	
2		**Phase 1 Project Initiation**		**07/06/20**	**09/30/20**	**63d**	
3		Project Preparation	Not Started	07/06/20	07/22/20	13d	
4		Project Kickoff materials		07/06/20	07/22/20	13d	
5		Risk Management Log		07/06/20	07/22/20	13d	
6		Issues Management Log		07/06/20	07/22/20	13d	
7		Integrated Change Management / Control Plan		07/06/20	07/22/20	13d	
8		Project Deployment Plan		07/06/20	07/22/20	13d	
9		Environment review		07/06/20	07/22/20	13d	
10		Analysis of phased user depolyment		07/06/20	07/22/20	13d	
11		Rollout mitigation plan		07/06/20	07/22/20	13d	
12		Risk log review/update		07/06/20	07/22/20	13d	
13		Finalize Project Schedule		07/22/20	07/22/20	1d	
14		Project Org Chart		07/06/20	07/22/20	13d	
15		Baseline the Project Schedule		07/23/20	09/25/20	47d	
16		Identify Activities		07/23/20	09/25/20	47d	
17		Identify Resources		07/23/20	09/25/20	47d	
18		List deliverables		07/23/20	09/25/20	47d	
19		Identify Project Milestones		07/23/20	09/25/20	47d	
20		Mark deliverable approval periods		07/23/20	09/25/20	47d	
21		Configuration Mangement Plan		07/23/20	09/25/20	47d	
22		Configuration Items Log		07/23/20	09/25/20	47d	
23		Stakeholder Outreach		07/06/20	09/30/20	63d	
24		Stakeholder analysis		07/06/20	07/22/20	13d	
25		Initiate Communications Plan		07/23/20	09/30/20	50d	
26		Project Kickoff Meeting		07/23/20	07/23/20	1d	
27		**DED Review Sign-off**		09/30/20	09/30/20	1d	**Deliverable Expectation Documents**
28		Risk Management Plan		09/30/20	09/30/20	1d	
29		Issue Management Plan		09/30/20	09/30/20	1d	
30		Integrated Change Control / Management Plan		09/30/20	09/30/20	1d	
31		Project Deployment Plan		09/30/20	09/30/20	1d	
32		Project Schedule		09/30/20	09/30/20	1d	

	State	Task Description	Status	Planned Start Date	End Date	Duration	Comments
33		Configuration Management Plan		09/30/20	09/30/20	1d	
34		Stakeholder Outreach and Comm Plan		09/30/20	09/30/20	1d	
35		Ongoing Project Mgmt Activities established		07/22/20	07/22/20	1d	
36		**Phase 2 Analysis & Design**		**10/01/20**	**02/03/21**	**90d**	
37		Phase 2 Analysis & Design Kick-off mtg		10/07/20	10/07/20	1d	
38		Design Activities		10/01/20	10/01/20	1d	
39		Configuration design		10/01/20	10/01/20	1d	
40		Customization design		10/01/20	10/01/20	1d	
41		Identify modifications		10/01/20	10/01/20	1d	
42		Identify interfaces		10/01/20	10/01/20	1d	
43		Requirements Traceability Matrix		10/01/20	10/01/20	1d	
44		Application Design Sessions		10/01/20	11/20/20	37d	
45		Concept Design Documentation		11/30/20	01/29/21	45d	
46		Describe Implementation Methodology		11/30/20	11/30/20	1d	
47		Describe User Interfaces		11/30/20	11/30/20	1d	
48		Detailed Specs		11/30/20	01/29/21	45d	
49		Business Rules		11/30/20	01/29/21	45d	
50		External System Interfaces		11/30/20	01/29/21	45d	
51		Validations		11/30/20	01/29/21	45d	
52		Screen Layouts		11/30/20	01/29/21	45d	
53		User Interfaces		11/30/20	01/29/21	45d	
54		Solution software configuration		01/29/21	01/29/21	1d	
55		Determine setup requirements		01/29/21	01/29/21	1d	
56		Specs for Solution Customizations		01/29/21	01/29/21	1d	
57		Security design		01/29/21	01/29/21	1d	
58		Programming Specs		01/29/21	01/29/21	1d	
59		**DED Review Sign_off**		10/01/20	02/03/21	90d	
60		Complete Conceptual Design Document		10/01/20	02/03/21	90d	
61		Confirm design meetings		02/03/21	02/03/21	1d	
62		Requirements Traceabiity Matrix		02/03/21	02/03/21	1d	
63		**Phase 3 Execute**		**02/04/21**	**06/23/21**	**100d**	
64		Phase 3 Execution Kick-off Meeting		02/09/21	02/09/21	1d	
65		Develop Solution Implementation Plan		02/04/21	06/09/21	90d	
66		Data Conversion and Migration		02/04/21	06/09/21	90d	
67		Develop Conversion and Migration Plan		02/04/21	04/05/21	43d	

	State	Task Description	Status	Planned Start Date	End Date	Duration	Comments
68		Scope of source data to be converted (e.g., source system/database, date range, case type)		02/04/21	04/05/21	43d	
69		Source to target data mappings for all fields to be converted		02/04/21	04/05/21	43d	
70		Data transformation rules		02/04/21	04/05/21	43d	
71		Data validation and exception rules		02/04/21	04/05/21	43d	
72		Exception report format		02/04/21	04/05/21	43d	
73		Incremental data conversion approach if applicable to Contractor's proposed approach (aligned with phased rollout of eFileTexas 2.0)		02/04/21	04/05/21	43d	
74		OCA Facilitated - Create data conversion algorithms, and data maps, identify impacts on existing systems and develop procedures for handling problems such as invalid formats of data values requiring validation		04/05/21	06/09/21	48d	
75		Confirm the transfer of eFileTexas documents and data, where applicable, into eFileTexas 2.0. All content in the current eFileTexas document access module (e.g., re:SearchTX), forms assembly (i.e. Guide and File) and eFiling configuration shall be migrated		04/05/21	06/09/21	48d	
76		Help Desk Activities		04/08/21	06/23/21	55d	
77		Develop Help Desk Support Plan		04/08/21	05/06/21	21d	
78		Help State EFSP		04/08/21	05/06/21	21d	
79		Help Doc Access		04/08/21	05/06/21	21d	
80		Help Forms Assembly		04/08/21	05/06/21	21d	
81		Help Court Users		04/08/21	05/06/21	21d	
82		Establish Help Desk Log		04/08/21	05/06/21	21d	
83		Help Desk Comms		04/08/21	04/22/21	11d	
84		Help - Toll-Free Telephone		04/08/21	04/22/21	11d	
85		Help - Email		04/08/21	04/22/21	11d	
86		Help - Real time chat		04/08/21	04/22/21	11d	
87		Help - Web form contact		04/08/21	04/22/21	11d	
88		Assign Provider SPOC from Help Desk		04/22/21	04/22/21	1d	
89		Identify Key Production Support Staff		04/30/21	05/06/21	5d	
90		Provide Resumes for OCA review		04/30/21	05/06/21	5d	
91		Update HelpDesk Plan at Cutover (and Annually)		06/23/21	06/23/21	1d	
92		Review Solution Implementation Plan		04/05/21	06/18/21	55d	

	State	Task Description	Status	Planned Start Date	End Date	Duration	Comments
93		Develop Security Plan		04/05/21	06/18/21	55d	
94		Monitoring abnd compliance		04/05/21	06/18/21	55d	
95		Monitoring eFile 2.0 Security		04/05/21	06/18/21	55d	
96		TAC 202 compliance		04/05/21	06/18/21	55d	
97		Evolving threat strategy					
98		Security Incident Response Plan		04/05/21	06/18/21	55d	
99		Security roles and responsibilities		04/05/21	06/18/21	55d	
100		Mission Statement		04/05/21	06/18/21	55d	
101		Key Terms governing incident response		04/05/21	06/18/21	55d	
102		Identification of an incident response lead		04/05/21	06/18/21	55d	
103		Identify incident detection channels.		04/05/21	06/18/21	55d	
104		Strategy to identify and categorize incidents		04/05/21	06/18/21	55d	
105		Processtocommunicate,contain,eradicate,and recover from incidents.		04/05/21	06/18/21	55d	
106		Post-incident activities to ensure continuous security improvement.		04/05/21	06/18/21	55d	
107		Disaster Recovery & Business Continuity Plan		04/05/21	06/18/21	55d	
108		Approach for initiating disaster recovery and/or business continuity procedures to be undertaken in the event of a disaster affecting eFileTexas 2.0.		04/05/21	06/18/21	55d	
109		Approach for ensuring all information necessary to restore operational service in the event of a disruption are correct and up to date.		04/05/21	06/18/21	55d	
110		Functional roles and responsibilities of recovery teams.		04/05/21	06/18/21	55d	
111		Description of recovery scenarios that can be implemented.		04/05/21	06/18/21	55d	
112		Recovery activities to be exercised and frequency of testing.		04/05/21	06/18/21	55d	
113		Description / location of data backups, inventories, or other related documentation that must be recorded.		04/05/21	06/18/21	55d	
114		Infrastructure Services Plan		04/05/21	06/18/21	55d	
115		Definition of each eFileTexas 2.0 environment (e.g., production, staging, test, etc.)		04/05/21	06/18/21	55d	
116		Approach for maintaining application and infrastructure component consistency across all eFileTexas 2.0 environments.		04/05/21	06/18/21	55d	

	State	Task Description	Status	Planned Start Date	End Date	Duration	Comments
117		Approach for certifying and/or providing quality assurance of eFileTexas 2.0 environments.		04/05/21	06/18/21	55d	
118		Approach for managing programming environment changes including management of test and deployment of new releases while maintaining capacity to apply hotfixes to production.		04/05/21	06/18/21	55d	
119		Approach for communicating and supporting testing of eFileTexas 2.0 environments with external organizations/systems.		04/05/21	06/18/21	55d	
120		Approach for establishing initial capacity and anticipated growth requirements for eFileTexas 2.0 including but not limited to storage, processing and network bandwidth.		04/05/21	06/18/21	55d	
121		Approach to performance tuning to ensure the Solution operates optimally and within defined serviced levels		04/05/21	06/18/21	55d	
122		Impact analysis of upcoming patches and upgrades		04/05/21	06/18/21	55d	
123		Modifications to Contractor-provided components and configurations to support upcoming patches and upgrades		04/05/21	06/18/21	55d	
124		Testing and deployment of patches and upgrades in all environments		04/05/21	06/18/21	55d	
125		Continuous health checks of the production system		04/05/21	06/18/21	55d	
126		Continuous tuning and other required system level administration		04/05/21	06/18/21	55d	
127		Recommendations for system performance tuning		04/05/21	06/18/21	55d	
128		Application modifications required to support scheduled infrastructure upgrades		04/05/21	06/18/21	55d	
129		Approach for monitoring on-going usage and growth patterns of eFileTexas 2.0 resources including for cumulative growth and peak usage patterns		04/05/21	06/18/21	55d	
130		Approach for deployment of additional capacity as specified in the original plan and per the results of on- going capacity monitoring.		04/05/21	06/18/21	55d	
131		Approach for preventative and unplanned services to eFileTexas 2.0 services.		04/05/21	06/18/21	55d	

	State	Task Description	Status	Planned Start Date	End Date	Duration	Comments
132		Documentation of third-party infrastructure service providers and associated communication and management processes.		04/05/21	06/18/21	55d	
133		Communication protocols inclusive of OCA, Courts, EFSPs, and filers for infrastructure services.		04/05/21	06/18/21	55d	
134		Cutover Planning		06/07/21	06/22/21	12d	
135		Cutover Plan		06/07/21	06/21/21	11d	
136		Transition Readiness assessment		06/07/21	06/21/21	11d	
137		Preliminary schedule		06/07/21	06/21/21	11d	
138		Rollback Strategy		06/07/21	06/21/21	11d	
139		Assessment Scorecards		06/07/21	06/21/21	11d	
140		Defined Critical readiness criteria		06/07/21	06/21/21	11d	
141		Go / No Go criteria		06/07/21	06/21/21	11d	
142		Fallback		06/07/21	06/21/21	11d	
143		Pre Cutover Checklist		06/07/21	06/21/21	11d	
144		Post Cutover Evaluation criteria		06/07/21	06/21/21	11d	
145		Cutover Schedule		06/18/21	06/22/21	3d	
146		**DED Review Sign-off**		06/23/21	06/23/21	1d	
147		Solition Implementation Plan		06/23/21	06/23/21	1d	
148		Conversion and Migration Plan		06/23/21	06/23/21	1d	
149		Cutover Plan		06/23/21	06/23/21	1d	
150		Help Desk Support Plan		06/23/21	06/23/21	1d	
151		Development Sign off		06/23/21	06/23/21	1d	
152		Conversion sign off		06/23/21	06/23/21	1d	
153		Conversion Script Dev complete		06/23/21	06/23/21	1d	
154		INITIAL Conv runs and Testing performed		06/23/21	06/23/21	1d	
155		**Phase 4 Testing**		**06/24/21**	**09/15/21**	**60d**	
156		Phase 4 Testing Kick-off Meeting		06/24/21	06/24/21	1d	
157		System Testing		06/25/21	08/20/21	41d	
158		Unit Testing		06/25/21	07/30/21	26d	
159		Integration Testing		08/02/21	08/20/21	15d	
160		Security / Intrusion Testing		09/10/21	09/10/21	1d	
161		User Acceptance Testing (UAT)		08/23/21	09/10/21	15d	
162		Stress Performance Testing		08/02/21	09/10/21	30d	
163		Regression Teting		07/30/21	09/10/21	31d	
164		**DED Review Sign-off**		09/15/21	09/15/21	1d	

	State	Task Description	Status	Planned Start Date	End Date	Duration	Comments
165		Test Plan Sign off		09/15/21	09/15/21	1d	
166		System Test Results confirmed		09/15/21	09/15/21	1d	
167		UAT Results confirmed		09/15/21	09/15/21	1d	
168		**Phase 5 Training**		**02/08/21**	**12/17/21**	**225d**	
169		Phase 5 Training Kick-off Meeting		09/16/21	09/16/21	1d	
170		Training Plan		02/08/21	06/25/21	100d	
171		Training Curriculum		02/08/21	06/25/21	100d	
172		Training Materials		02/08/21	09/10/21	155d	
173		Training Calendar		06/11/21	06/11/21	1d	
174		Train the Trainer Delivery		09/20/21	12/17/21	65d	
175		Tech Staff / Help Desk		09/20/21	10/08/21	15d	
176		User Community Trainers		10/11/21	12/17/21	50d	
177		Training Completion Report		12/17/21	12/17/21	1d	
178		**DED Review Sign-off**		11/30/21	12/17/21	14d	
179		Training Plan Complete		11/30/21	12/17/21	14d	
180		Training Curriculum and Materials Delivered		11/30/21	12/17/21	14d	
181		Training Completion Plan confirmed		11/30/21	12/17/21	14d	
182		**Phase 6 Cutover**		**12/20/21**	**03/10/22**	**59d**	
183		Phase 6 Cutover Kick-off Meeting		12/20/21	12/20/21	1d	
184		As-Built Sysytem Ducumtation		01/03/22	02/03/22	24d	
185		Environment 1		01/03/22	01/06/22	4d	
186		Smoke test results		01/03/22	01/06/22	4d	
187		Environment 2		01/10/22	01/13/22	4d	
188		Smoke test results		01/10/22	01/13/22	4d	
189		Environment 3		01/17/22	01/20/22	4d	
190		Smoke test results		01/17/22	01/20/22	4d	
191		Environment 4		01/24/22	01/27/22	4d	
192		Smoke test results		01/24/22	01/27/22	4d	
193		Environment 5		01/31/22	02/03/22	4d	
194		Smoke test results		01/31/22	02/03/22	4d	
195		Cutover Completion Report		12/20/21	03/01/22	52d	
196		Cutover plan updated		12/20/21	01/03/22	11d	
197		Cutover plan executed		01/03/22	03/01/22	42d	
198		**DED Review SIgn-off**		02/27/22	03/10/22	10d	
199		System Documentation complete		03/10/22	03/10/22	1d	
200		Cutover Completion Report complete		02/27/22	02/27/22	1d	

	State	Task Description	Status	Planned Start Date	End Date	Duration	Comments
201		eFile Texas 2.0 Live in Production		03/01/22	03/01/22	1d	
202		**Phase 7 Project Closeout**		03/01/22	04/04/22	25d	
203		Phase 7 Project Closeout / Production Services Kick-off Meeting		03/15/22	03/15/22	1d	
204		**DED Review SIgn-off**		03/01/22	04/04/22	25d	
205		Project Closeout Report		03/24/22	04/04/22	8d	
206		Scope		03/24/22	04/04/22	8d	
207		Budget		03/24/22	04/04/22	8d	
208		Schedule		03/24/22	04/04/22	8d	
209		SLAs		03/24/22	04/04/22	8d	
210		Monthly Production Support Templates		03/01/22	04/04/22	25d	
211		Stats, 6 Month Plan, Risks and Issues		03/01/22	04/04/22	25d	
212		**Production Services**		03/01/22	02/28/23	261d	
213		**Recurring Activities**		03/01/22	02/28/23	261d	

3. Deployment Strategy:

    a. Offeror must provide their proposed Deployment Strategy for the future system, including a narrative that describes the implementation lifecycle that will apply to the implementation that includes, at a minimum, the project initiation phase, analysis and design phase, execution phase, test phase, training phase, and cutover phase.

    b. OCA's preference is for the implementation to occur iteratively.

    c. Offeror should describe whether development approach will be Iterative Waterfall, Agile, or other hybrid and fully describe all stages of development and major activities that shall occur.

    d. Describe in detail how the Offeror will organize its team and leverage its methodology to deliver the Solution while achieving deployment synergies resulting in a cost-effective, high quality, and accelerated deployment.

    e. Describe how the Offeror proposes to execute a phased approach with OCA and the respective courts', ESFPs', and CMS Vendors' project teams to seamlessly transition to the required support structures and processes with minimal business disruption.

    f. Include any and all assumptions the Offeror is making with respect to OCA's or other external stakeholders' role/staffing as well as the role and contribution of any key third parties or the Offeror is including in its proposal.

    g. Describe how the Offeror proposes to continue to implement subsequent phases while simultaneously providing the necessary site support for phases that are already in/have just gone into production.

    ICON uses an agile approach to development and thus utilizes an iterative deployment strategy. After the initial planning phase, a set of stages will be repeated with each cycle completion incrementally improving the solution. Enhancements will quickly be recognized and implemented during each iteration. Each iteration will be better than the previous.

    During the Project Initiation Phase, we will go through a planning stage to map the specification documents, determine hardware requirements, Software requirements and set the stage for upcoming iterations.

    After the project initiation phase, analysis will be performed to firm up business processes, workflows, and such. Design also will be performed during the project initiation phase. All technical requirements for database, APIs, and services necessary to satisfy the requirements must be determined during this phase.

    Execution or Implementation and programming procedures now begin for this iteration. All above planning, analysis and design will be coded.

    Upon completion of the execution, a set of testing procedures that find bugs or failures and correct any findings.

    Evaluation and training on this iteration with stakeholders must be completed with a return to the planning stage for the next iteration.

    This model will provide OCA and eFileTexas 2.0 with inherent versioning.

If a new iteration has issues, a previous version can easily be rolled back with limited loss of use. Additionally, each iteration can be reduced in scope and become faster and more efficient iterations.

The initial stages of deployment will focus on standing up the solution's out-of-the-box functionality. High, medium, and low priority items in the need's requirement feature matrix that require configuration or customization will be assessed and prioritized. Iterations for high-priority configurations, high-priority customizations, followed by medium-priority configurations and customizations, and then low priority requirements.

A scrum team will be assigned to this project as a dedicated resource. Our scrum team will work closely with Stakeholders from OCA that include, but are not limited to, business analyst and subject matter experts on eFileTexas. Using the iterative approach I described in above and planning small development cycles, the project can move rapidly forward with excellent versioning that is cost-effective and high-quality. Deployment will be in smaller and lower risk iterations.

With respect to courts, CMS vendors and EFSPs, our vision is to leverage the existing technology available within the current version of eFileTexas to reduce development time and costs associated with each CMS vendor and EFSP. Icon has existing integrations with CMS vendors doing business in Texas, and we plan to leverage that knowledge as well to limit deployment time.

We assume that OCA will have access to existing APIs and web services. We assume OCA Stakeholders will be available for regularly scheduled meetings. We assume that key third parties such as EFSPs and CMS Vendors will be required to participate to remain viable as a Texas EFSP.

Implementation of subsequent phases will be done via three environments: Development, Stage, and Production. Each iteration will move from development, to Stage, to Production. Since we plan to keep the iterations (inherent versions) smaller in scale; moving an iteration from stage to production should have minimal impacts and be easy to roll back if any issues are experienced.

4. Configuration Management:

   a. Offeror shall describe the configuration management process and any actions that will be required of the OCA, EFSPs, Texas.gov, and individual jurisdictions. Identify any specific skills that would be needed by those staff performing configuration changes.

   b. Offeror shall describe the tools, environment, and infrastructure required for the execution of configuration management activities to be completed by OCA, EFSPs or individual jurisdictions.

   c. Offeror shall describe the methods for identifying project configuration items and for placing and managing them in the configuration register.

   d. Offeror shall describe the methods for conducting configuration audits and reviews to be held during the project.

   e. Offeror shall describe the methods for configuration release management controls between environments.

ICON contracts when necessary with a third-party that is certified SAE EIA-649 for Configuration Management. As part of the initial planning phase, a configuration management plan for this project would be published.

5.5.2 Analysis and Design

5.5.2.1 SOW Text

The Contractor shall perform eFileTexas 2.0 analysis and design activities to validate the Solution's requirements and confirm the future state conceptual design. Conceptual design documentation shall account for differences across jurisdictions (as necessary).

Table 24: Analysis and Design Deliverable Expectations

<table>
<tr><th colspan="2">High Level Activities</th></tr>
<tr><td colspan="2">This deliverable requires completion of the following steps:
1. Validate the Contractor's understanding of the requirements and submit an updated Requirements Traceability Matrix.
2. Conduct joint application design sessions with OCA and appropriate stakeholders to define design-level requirements for the future state.
3. Create future state Conceptual Design Documentation.</td></tr>
<tr><th>Associated Artifacts</th><th>Major Components</th></tr>
<tr><td>Updated Requirements Traceability Matrix</td><td>Contractor shall review the functional and technical requirements defined in Attachment C: Requirements Response Workbook to validate the Contractor's understanding of the requirements to meet the State's expectations. The output of this review will be an updated traceability matrix of the requirements that includes any design considerations, gaps, issues, or risks that need to be addressed throughout the project.</td></tr>
<tr><td>Conceptual Design Documentation</td><td>Contractor shall create conceptual future state design documentation for application, data/content, and integration architectures, and all activities required to achieve the overall application architecture associated with eFileTexas 2.0. Conceptual design documentation shall include, but not be limited to, the following content:
a) description of implementation methodology (e.g., agile, waterfall, etc.);
b) description of user interface(s);
c) detail specifications for business rules, external system interfaces, validations, screen layouts and user interfaces;
d) Solution software configuration and setup requirements;
e) specifications for Solution customizations; and
f) security design and programming specifications.</td></tr>
</table>

Deliverable Acceptance Criteria	▪ Appropriate joint application design discussions have occurred between the Contractor and OCA and other appropriate stakeholders. ▪ Updated Requirements Traceability Matrix and Conceptual Design Document are complete, correct, and comply with the contract requirements and the Deliverables Expectation Document. Note: OCA must formally approve each document before final acceptance of the deliverable.

Offeror Response to SOW Text (select one by entering an 'X' in the appropriate box):	
X	(1) Offeror accepts *SOW Text* for this section as provided.
	(2) Offeror requests alternate language for this SOW section (see below).
Offeror's alternate SOW Text (provide if option 2 selected above):	

5.5.2.2 Additional Offeror Response:

1. Identify any constraints and risks associated with the Solution requirements and interfaces anticipated in this project, and how the Offeror will address these to ensure successful implementation and deployment. Offeror shall describe any limitations and/or constraints of interfaces in an Offeror hosted environment.
2. Offeror shall describe the method for maintaining requirements traceability throughout the development process.
3. Describe Offeror's approach to requirements gathering (e.g., design-level requirements) that should address the following:
    a. Review of current state artifacts, such as existing forms, screens, and reports to ensure accurate inputs and outputs are accounted for in the design of the Solution.
    b. Approach to conducting joint application design sessions with OCA and other stakeholders, any prototyping that will occur, and how stakeholders will be exposed early on and throughout the design / development process to how the system will look and function.
    c. Approach to documenting conceptual design-level requirements. If the Offeror intends to propose an Agile approach or similar implementation methodology that does not rely on formal design documentation, Offeror should provide examples of how design requirements are managed (i.e. user stories, backlog).
    d. Approach to validating and finalizing design specifications as a prerequisite to the Execute Phase, or if proposing an Agile approach or

similar, describe how the design / prototyping / sprint process shall work.

The largest risk item is the responsiveness of CMS Vendors and EFSPs to complete integrations to eFileTexas2.0

In our hosted environment, there are no constraints or limitations of interfaces. We have numerous interfaces that reside in our infrastructure.

The Requirements traceability matrix will map and trace all of eFileTexas2.0's requirements with the test cases and discovered defects during each stage of development. We currently use HelixALM (formerly TestTrack) for end-to-end traceability. All requirements management, test case management and issue management are recorded through the application life cycle.

Our approach to requirements gathering has been mentioned throughout our narrative. Collecting screen shots, reports, and forms currently used in eFileTexas will be done in addition to collecting information regarding all existing APIs that we con consume and review. This will allow us to leverage as many objects as possible to aid in the analysis, planning and design stage of each iteration.

Since we limit our iterations scope, OCA and other Stakeholders will be able to see versions more frequently which will help prevent cost and time overruns if an iteration needs to roll back to the previous version.

To provide documentation throughout the iterative processes, our technical writer will be the point person to document each iterations effort. As we close out each sprint, it will provide clarity on what has stabilized and should be documented.

5.5.3 Execute

5.5.3.1 SOW Text

The Contractor shall perform all necessary execution activities to implement the Solution, including integrations with external systems and converted data.

The Contractor shall host, operate, administer, and maintain the Solution at a facility owned and administered by the Contractor or one of its Subcontractors, or through an alternative cloud/SaaS offering to be identified in the offer.

Table 25: Execute Deliverable Expectations

<table>
<tr><th colspan="2">High Level Activities</th></tr>
<tr><td colspan="2">This deliverable requires completion of the following steps:
1. Develop the Solution Implementation Plan.
2. Develop the Help Desk Support Plan.
3. Develop the Solution based on the requirements of the SOW and detailed design requirements identified in the previous phase through configuration, interface development, and other applicable development-related activities according to the Contractor’s software implementation methodology.
3.1. The Contractor shall integrate all components of eFileTexas 2.0, inclusive of any third-party software included as part of the overall Solution. The Contractor shall create interfaces with jurisdiction-level applications (i.e., court case management systems), Electronic Filing Service Providers, and other external systems (e.g., Texas.gov payment adapter).
4. Contractor shall perform data conversion and migration activities, including the execution and documentation of the results of the final conversion and migration of content into eFileTexas 2.0 inclusive of each phased conversion and migration as aligned with and applicable to the eFileTexas 2.0 phased rollout. Note: Final conversion runs will occur as part of go live / cutover activities for each deployment.
5. The Contractor shall provide first-level end user Help Desk support for State EFSP, Document Access, Forms Assembly, and Court users. The Contractor shall provide Help Desk support for commercial EFSP providers. Commercial EFSPs shall provide direct Help Desk support for end users of such commercial EFSPs.
5.1. The Help Desk will log all reported problems, and either resolve the problem directly or escalate to specialists including the Contractor’s resources or third parties agreed upon with OCA.
5.2. The Contractor shall provide multiple alternative communication channels to the Help Desk, including toll-free telephone services, email, real-time chat, and a web form contact process.
5.3. To support effective communication with OCA, the Contractor will assign a single point of contact for OCA.
6. The Contractor shall provide maintenance and support of the Solution for the period defined in Attachment A: Master Services Agreement.</td></tr>
<tr><th>Associated Artifacts</th><th>Major Components</th></tr>
<tr><td>Solution Implementation Plan</td><td>1) Solution Implementation Plan: Contractor shall describe the Solution implementation approach throughout application design, interface design, and conversion design; this plan shall include the following (at a minimum):
a) How the Contractor shall provide all system management tools for all development environments and shall manage all development efforts using industry-standard software development tools and methodologies.</td></tr>
</table>

High Level Activities	
	b) Ensure that the Solution conforms to defined standards for System design and Systems architecture. c) Detail the approach to gather design-level specifications and develop the design documentation for custom built components such as interfaces. i) Detailed plans for integrating eFileTexas 2.0 with systems in use by OCA, jurisdictions, and other external organizations. d) Contractor shall provide the following sub-component plans that describe the following (at a minimum): i) Security Plan: (1) Approach for monitoring eFileTexas 2.0 security, including how it complies with TAC 202. (2) Approach for keeping eFileTexas 2.0 security capabilities current with evolving known and potential security threats. (3) Security incident response plan details that describe the following (at a minimum): (a) security roles and responsibilities, mission statement, key terms governing incident response, identification of an incident response lead, and incident detection channels. (b) Strategy to identify and categorize incidents. (c) Process to communicate, contain, eradicate, and recover from incidents. (d) Post-incident activities to ensure continuous security improvement. ii) Disaster Recovery & Business Continuity Plan: (1) Approach for initiating disaster recovery and/or business continuity procedures to be undertaken in the event of a disaster affecting eFileTexas 2.0. (2) Approach for ensuring all information necessary to restore operational service in the event of a disruption are correct and up to date. (3) Functional roles and responsibilities of recovery teams. (4) Description of recovery scenarios that can be implemented. (5) Recovery activities to be exercised and frequency of testing. (6) Description / location of data backups, inventories, or other related documentation that must be recorded. iii) Infrastructure Services Plan:

High Level Activities	
	(1) Definition of each eFileTexas 2.0 environment (e.g., production, staging, test, etc.). (2) Approach for maintaining application and infrastructure component consistency across all eFileTexas 2.0 environments. (3) Approach for certifying and/or providing quality assurance of eFileTexas 2.0 environments. (4) Approach for managing programming environment changes including management of test and deployment of new releases while maintaining capacity to apply hotfixes to production. (5) Approach for communicating and supporting testing of eFileTexas 2.0 environments with external organizations/systems. (6) Approach for establishing initial capacity and anticipated growth requirements for eFileTexas 2.0 including but not limited to storage, processing and network bandwidth. (7) Approach to performance tuning to ensure the Solution operates optimally and within defined serviced levels, Services shall include (at a minimum): (a) Impact analysis of upcoming patches and upgrades; (b) Modifications to Contractor-provided components and configurations to support upcoming patches and upgrades; (c) Testing and deployment of patches and upgrades in all environments; (d) Continuous health checks of the production system; (e) Continuous tuning and other required system level administration; (f) Recommendations for system performance tuning; and (g) Application modifications required to support scheduled infrastructure upgrades. (8) Approach for monitoring on-going usage and growth patterns of eFileTexas 2.0 resources including for cumulative growth and peak usage patterns. (9) Approach for deployment of additional capacity as specified in the original plan and per the results of on-going capacity monitoring. (10) Approach for preventative and unplanned services to eFileTexas 2.0 services.

High Level Activities	
	(11) Documentation of third-party infrastructure service providers and associated communication and management processes. (12) Communication protocols inclusive of OCA, Courts, EFSPs, and filers for infrastructure services. 2) The Contractor shall develop a detailed **Conversion and Migration Plan** and shall coordinate all conversion activities. a) Contractor shall create a Conversion and Migration Plan that includes (at a minimum): i) scope of source data to be converted (e.g., source system/database, date range, case type); ii) source to target data mappings for all fields to be converted; iii) data transformation rules; iv) data validation and exception rules; v) exception report format; and vi) incremental data conversion approach if applicable to Contractor's proposed approach (aligned with phased rollout of eFileTexas 2.0). b) The Contractor shall work closely with the incumbent eFileTexas vendor (as facilitated by OCA) to create data conversion algorithms, and data maps, identify impacts on existing systems and develop procedures for handling problems such as invalid formats of data values requiring validation. c) Data conversion and migration encompasses the transfer of eFileTexas documents and data, where applicable, into eFileTexas 2.0. All content in the current eFileTexas document access module (e.g., re:SearchTX), forms assembly (i.e. Guide and File) and eFiling configuration shall be migrated. 3) Contractor shall create a **Cutover Plan** that includes (at a minimum): a) Cutover Plan - Contractor shall perform go live cutover planning activities to assess transition readiness, go/no-go criteria, and fallback positions to be taken if no-go conditions are encountered for individual deployments. Additionally, Contractor shall provide a preliminary cutover schedule that clearly defines key milestones, deliverables, tasks and responsibilities. The Cutover Plan will be updated prior to go live. b) Cutover milestones where readiness to proceed is assessed, go/no-go criteria, and fallback positions to be taken if no-go conditions are encountered. c) Pre-cutover checklist and post-cutover evaluation criteria. d) Transition readiness assessment, including the preliminary schedule, rollback strategy, assessment scorecards, and defined critical readiness criteria that will drive go / no-go decisions

High Level Activities	
	related to overall readiness / preparedness for going live on eFileTexas 2.0.
Help Desk Support Plan	1) During the Execute phase, the Contractor shall develop the initial draft of the Help Desk Support Plan to describe how Help Desk services will be provided for eFileTexas 2.0. a. The Help Desk must be fully operational at the first eFileTexas 2.0 phased deployment. b. Contractor shall provide a staffing plan and resumes for Key Production Support Staff to OCA for review and approval. c. Contractor shall update this plan during cutover, and it will be responsible for updating the plan annually for the life of the contract.
Deliverables Acceptance Criteria	▪ Solution Implementation Plan, Conversion and Migration Plan, Cutover Plan, and Help Desk Support Plan are complete, correct and comply with the contract requirements and the Deliverables Expectation Document. ▪ Development is considered complete and ready to enter the system test phase. ▪ Conversion script development is complete, with initial conversion runs and testing successfully performed for each planned deployment phase. Final conversion run will occur as part of go live / cutover for each planned deployment phase. Note: OCA must formally approve each document before final acceptance of the deliverable.

Offeror Response to SOW Text (select one by entering an ‘X’ in the appropriate box):	
X	(1) Offeror accepts *SOW Text* for this section as provided.
	(2) Offeror requests alternate language for this SOW section (see below).
Offeror’s alternate SOW Text (provide if option 2 selected above):	

5.5.3.2 Additional Offeror Response:

The Offeror shall provide the following information in its Offer:

1. Development Approach:
    a. description of configuration methodology and approach to configuration;
    b. description of any development approaches and tools used to script, code, or otherwise "develop" the Solution (outside of configuration) that may be necessary to meet the OCA's requirements; and
    c. description of any major components of the Solution that may require customization of the proposed base product.
2. Systems Integration:
    a. Offeror shall describe their overall approach and strategy for integrating the proposed Solution into the existing statewide environment (EFSPs, CMS, etc.) and provide an architectural diagram of the proposed environment.
    b. Level of interoperability between the different components of the Solution and how that will be achieved (eFiling, Forms Assembly, Document Access, Redaction).
3. Trainings and Work Sessions:
    a. Offeror should describe anticipated trainings and work sessions with EFSPs, CMS vendors, Forms Assembly administrators, and court staff to ensure successful application implementation and interface development.
4. Data Migration Strategies:
    a. Offeror shall describe its strategy and level of involvement for converting and/or migrating data from eFileTexas into the proposed eFileTexas 2.0 Solution. This section should include:
        i. Description of the methodology to be used in developing conversion and/or migration specifications and the identification of any potential issues.
        ii. Describe any constraints and risks associated with data conversion and migration for this project and how the Offeror will address these to ensure a successful migration.
        iii. Technology and tools to be used.
        iv. Roles and responsibilities of Offeror vs. OCA and other stakeholders.
        v. Any iterative data migration proposed, including proposed number of mock runs for data migration.
        vi. Offeror should describe anticipated work sessions with EFSPs, CMS vendors, Forms Assembly administrators, and court staff to validate the conversion.
5. Help Desk Support:

a. Describe Offeror's customer support programs or communities, such as user groups or forums (in-person and/or online), that will be available to end-users and technical support staff. Identify the benefits to OCA of participation in these support programs or communities.

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

Configuration Management is an important aspect of the agile software approach. The desire to make changes faster to respond to demands and safely manage our changes are paramount. We use Octopus, which is a DevOps tool that allows us to have our development department make rapid changes and our operations to maintain stability. Using our agile development practices, most of the configuration management responsibility is given to the development team that is working within the scrum team on the project. Octopus manages our releases and automates complex deployments, runs scripts, provides release management, and maintains operation runbooks.

Onboarding services for integration is conducted using several steps. First webinar sessions will be made available to go over all activities and events, and to provide documentation for the path of transition. The documentation will provide courts and EFSPs with information regarding business rules, technical requirements, and our certification process path to production. For courts that are ready to begin a path to production, training the courts on the processes such as review, acceptance, rejection, redaction, routing, and other extended features will be scheduled. Finally, in the process of onboarding, a court will be certified with end-to-end test cases performed by the court.

Training of filers and court are the two core groups in this process.

Filer training will be via webinars and will have a frequent schedule to provide all participants multiple opportunities to attend live sessions. Additionally, training videos will be made available for download for filers to watch at their convenience.

Court training will be online classroom sessions. Training will be continuous as staff can change within a court and courts will be brought onboard at various points in time. System administrator and judicial administrator training will be separate sessions for advanced features and functions. Judges, court administrators, and other filers that are officers of the court will be trained in separate web sessions as well.

Data Conversion services will be provided to migrate all eFileTexas filer information and data to eFileTexas2.0. It will be expected that OCA will facilitate providing that data to us in an agreed upon format. We will create the migration scripts based upon the agreed upon data extract format.

First, the scope of the data to migrate must be defined along with the current format and target format. We will review your stored data with OCA and Stakeholders to make sure that all regulatory concerns with privacy are addressed. Are their any encrypted data elements?

The next step is to establish the migration timeline and not disrupt the current business operation while extracting and migrating each pass of the data. The first pass of the data will be to make sure it is clean before any migration scripts are generated and executed. Row counts and field counts for the migration will be included in the scripts for data converted and log files for exceptions to address with each pass of the data.

All work will be documented for each data pass and logs and row counts saved with the electronic documentation.

For each pass of the data, we will establish governance roles for vendor, OCA and Stakeholders. Who is *responsible for data quality and use in the new system?*

Before final migration, we will define risk management and all measures to correct and data loss or items that failed to convert. Maintaining a backup copy of the existing system post-migration should be included to mitigate and issues, and it should reside in the new test environment for access.

Help Desk support will be set up to handle support via live operator, email, and online chat. E-Filing support is currently available 8am to 9pm EST, and hours can vary based upon OCA's Service Level Agreement for this project. The Service Level Agreement defines all severity levels and timeframes to address each severity level. Level 1 might be system failure which is addressing an emergency. A dedicated SLA Manager will be assigned to Texas OCA with roles and responsibilities for all parties defined in the SLA.

We also offer an online forum and a separate forum will be configured for eFileTexas2.0. This will allow user to search the knowledgebase and to post questions to the forum. Other users may comment, and the forum will be monitored by the support staff.

5.1.1 Testing

5.5.4.1 SOW Text

The Contractor shall prepare a detailed plan to test all aspects of eFileTexas 2.0 and shall implement a tracking tool to log system defects from identification through resolution. The scope of testing for the eFileTexas 2.0 project is outlined below. The Contractor shall track expected versus actual test results, track all defects and their resolutions, and document rework and retesting efforts.

Table 26: Scope of Testing for eFileTexas 2.0

Testing	Definition	Participants	Timing
Unit Testing	Test the individual units of source code or smallest portion of the Solution that will be included in the unit test.	Contractor	During the Execution Phase (e.g., configuration and development); completed satisfactorily prior to moving into System Testing
Integration Testing	Test an assemblage of units to ensure they work properly together and address the inner application integration and not inter application integration. The Contractor shall perform integration testing to validate the successful exchange of information between eFileTexas 2.0 and all interfacing systems. The Contractor shall coordinate interface testing third party entities, including but not limited to, EFSP providers, courts and court CMS providers.	Contractor, EFSPs, CMS Vendors	During Interface Development and System Testing

System Testing	Test the entire Solution including components that will be integrated on the hosted platform. System tests are executed with functional requirements and address the information flow in the system, where the underlying assembled units are no longer addressed separately, but as a whole. System testing	Contractor, EFSPs, CMS Vendors	Occurs once development is “code complete”; Must be completed satisfactorily prior

	often is the test that indicates to the development community whether the system is behaving as required, verifies and validates that a system can work in production. The Contractor shall perform end-to-end system testing and resolve any defects discovered, until system test results are produced to demonstrate the successful operation of the system, ensuring that the system is functioning, performing, and processing documents and data correctly.		to User Acceptance Testing
Security / Intrusion Testing	Test the authentication, authorization, and data protection of the application.	Contractor, EFSPs, CMS Vendors	Must be completed prior to cutover
User Acceptance Testing (UAT)	Validate end-to-end business processes, comparing actual vs. expected results. UAT validates the system setup for transactions and user access, confirms the expected and intended use of the system, verifies performance on business-critical functions, and confirms application integrity. The Contractor shall support UAT testing activities conducted by OCA and business stakeholders, and resolve defects to ensure eFileTexas 2.0 functions properly and meets the acceptance criteria for exiting the Testing Phase.	OCA & Business Stakeholders	Occurs after System Testing and Prior to go live
Stress/Performance Testing	Test 'transaction processing' capacity of the 'system' when the system refers to a process, application or infrastructure to look at behavior with standard, increased and decreased workload. The Contractor shall perform performance testing to validate the eventual full-scale use of the system by all courts and filers, including mimicking the anticipated growth in the number of users, documents, and storage requirements as the system is deployed. The Contractor shall continue performance testing until performance measures are met and are expected to be met under full operational conditions. The Contractor shall work with third-party network resources to perform a network analysis to determine any likely network deficiencies leading to poor system testing results.	Contractor	Part of System Testing; must be completed prior to UAT

Regression Testing	Retest a previously tested 'system' following modification to ensure that faults have not been introduced/ uncovered as a result of the changes. Common tests include re-runs of previous functional tests and checks of re-emerging of previously fixed faults.	Contractor	Between Phased Deployments

Table 27: Defect Definitions

Defect Level	Definition
1	A Documented Defect that causes: (a) complete application failure or application unavailability; (b) application failure or unavailability in one or more of Authorized Users locations; or (c) systemic loss of multiple essential system functions.
2	A Documented Defect that causes: (a) repeated, consistent failure of Essential Functionality affecting more than one user; or (b) loss or corruption of data.
3	A Level 1 Defect with an existing Circumvention Procedure, or a Level 2 Defect that affects only one user or for which there is an existing Circumvention Procedure.
4	A Documented Defect that causes failure of Non-Essential Functionality or a cosmetic or other Documented Defect that does not qualify as any other service level defect.

Table 28: Testing Deliverable Expectations

High Level Activities
This deliverable requires completion of the following steps: 1. Develop Test Plan based on Table 26: Scope of Testing for eFileTexas 2.0 which outlines the scope of testing, Contractor's responsibilities, and defect definitions in Table 27: Defect Definitions. 2. Setup and Manage Test Environment 2.1. The Contractor shall plan, design, and implement a test environment that replicates the production environment and network connectivity. The Contractor shall load the test environment with enough data to perform effective testing. The Contractor shall develop detailed test conditions, prepare test scripts, and utilize automated testing tools as appropriate to facilitate the testing process. 3. Conduct System Testing and Resolve Defects 3.1. For each defect identified during testing, OCA and the Contractor use a prioritization rating indicating the relative sequence to fix defects as defined Table 27: Defect Definitions in the previous section. 4. Submit Final System Testing Results. 5. Support UAT, Defect Resolution, and Submit UAT Results.

<table>
<tr><th colspan="2">High Level Activities</th></tr>
<tr><th>Associated Artifacts</th><th>Major Components</th></tr>
<tr><td>Test Plan</td><td>The eFileTexas 2.0 Test Plan shall describe the Contractor’s approach for conducting all testing, including:
a) Approach to complete all testing activities outlined in Table 26:Scope of Testing for eFileTexas 2.0. Specifically address:
i) Systems integration testing per OCA acceptable response times;
ii) Stress / performance testing, including pass criteria that can handle the transaction load data described in Section 4.1: Project Background and Objectives; and
iii) Security / Intrusion testing, including assurances that security controls delineated through TAC 202 are met;
b) Test Data Creation approach, including data refresh processes;
c) Automated Test Usage (optional, but preferred by OCA);
d) User Acceptance Testing Scripts and support; and
e) Defect remediation release strategy and regression testing.</td></tr>
<tr><td>System Testing and Test Results</td><td>1) Contractor shall perform end-to-end System Testing inclusive of integration testing and providing System Test results that describe the following (at a minimum):
a) Date scenario was executed;
b) Person who executed the scenario;
c) Test result status (pass/fail);
d) Defects discovered;
e) Retest dates and results; and
f) Justification for exiting System Test stage.
2) Contractor shall perform performance testing to validate the eventual 300% full-scale use of the system by all courts and filers, including mimicking the anticipated growth in the number of users, documents, and storage requirements as the system is deployed. The Contractor shall continue performance testing until performance measures are met and are expected to be met under full operational conditions.</td></tr>
<tr><td>User Acceptance Testing and Test Results</td><td>Contractor shall be responsible for ensuring UAT is completed with defects resolved to ensure eFileTexas 2.0 is functioning properly. For each test scenario during UAT, the test results shall describe (at a minimum):
a) Acceptance test results for the overall Solution and for each jurisdiction deployment;
b) Date scenario was executed;</td></tr>
</table>

High Level Activities	
	c) Person who executed the test scenario; d) Test result status (pass/fail); e) Defect, priority, and resolution log; f) Retest dates and results; and g) Justification for exiting UAT stage.
Deliverable Acceptance Criteria	▪ The Test Plan, the System Test Results, and the User Acceptance Test Results are complete, correct, and comply with the contract requirements and the Deliverables Expectation Document. Note: OCA must formally approve each document before final acceptance of the deliverable.

Offeror Response to SOW Text (select one by entering an 'X' in the appropriate box):	
X	(1) Offeror accepts *SOW Text* for this section as provided.
	(2) Offeror requests alternate language for this SOW section (see below).
Offeror's alternate SOW Text (provide if option 2 selected above):	

5.5.4.2 Additional Offeror Response:

1. Testing Methodology. Offeror shall:
   a. describe its plan for tracking expected versus actual test results, and for tracking all defects and associated resolutions.
   b. describe its defect prioritization, time to resolution, escalation, and implications on any process and contractual obligations such as acceptance periods.
   c. describe its approach for testing during the project to verify that functionality being developed is consistent with the functionality expected by system users.
   d. include a high-level testing plan aligned with Offeror's proposed implementation approach for this project.
   e. describe approach to Issue Management and Resolution (to include Offeror definition of a "defect" and an "enhancement")

2. Training. Offeror shall describe anticipated trainings and work sessions with EFSPs, CMS vendors, Forms Assembly administrators, and court staff to test the Solution.
3. UAT. Offeror shall:
    a. describe its approach for supporting UAT.
    b. describe its plan for developing UAT test cases for OCA, tracking expected versus actual test results, and for tracking all errors, problems, and associated resolutions.
    c. describe Offeror approach for testing during the development of the application to verify that functionality being developed is consistent with the functionality expected by system users and ensuring proper test coverage.
    d. include a high-level UAT testing plan aligned with Offeror's proposed implementation plan for this project.
4. The Offeror shall describe the approach to developing the following for system test & UAT:
    a. Test Plans.
    b. Test Scripts (including approach to test script development and requirements traceability to ensure end-to-end and comprehensive testing of entire Solution prior to go live.
5. The Offeror shall also describe the entrance and exit criteria for each test phase (e.g., Development/Unit Test, System Test, UAT, Performance Test, etc.).
6. The Offeror shall describe the role(s) they expect OCA or other stakeholders to perform during each test phase. In this description, Offerors should clearly identify the activities OCA or other stakeholders will be responsible for performing and avoid generic terms, such as "jointly" and "collaborate."

Icon utilizes the Agile approach with Scrum development practices for product development. A major benefit to this approach is that testing is interwoven in each phase of development. The overall purpose of testing is to ensure the application meets all technical, functional, and business requirements. This testing methodology is prevalent in all Icon departments, but especially in Development and Quality Assurance (QA). Icon's development and testing teams work closely together collaborating on best practices to validate application functionality.

Icon utilizes the OnTime ticket management system to create and track development, testing, implementation, and support tickets. Development tickets are organized by product then further organized into projects and placed into the current or next sprint based on the priority and severity of the issue. The Development, QA, Implementation, and Management teams are all involved in ticket creation for features and defects. Each ticket should be fully documented and include replication steps as well as the desired functionality/resolution.

A preliminary timeline will be established for a release to be delivered to customers. This serves as a baseline for the programming, testing, and documentation timelines to be built around. Setting these timelines allows Icon to more effectively estimate what can be accomplished in the projected time.

Icon's Management team and managers from the Development, Support, and QA teams will come together to review the proposed features and defects, ensure the tickets are properly documented, and choose which *tickets to consider for the proposed release. Pending Go Live date, critical status of ticket, difficulty level, Icon commitments to customers, and statutory changes are all considered when sorting items for a release. Once the release is formalized, a timeline is established for each ticket and the assigned development resources. If the timeline estimates exceed available resource availability the proposed items will be reevaluated, and some moved to a later release.*

Icon Test Cycle:

- *Pre-Release – Software release is coded for and promoted to Icon's test environment.*
- *Primary Testing – Functionality of release requirements are tested. Unaccepted resolution of requirements is cycled back to programming for resolution. This cycle continues until all requirements meet functional specifications.*
- *Secondary Testing – Testing includes regression testing and final testing of release requirements. Unaccepted resolution of requirements is cycled back to programming for resolution. This cycle continues until all requirements meet functional specifications.*
- *Release Build – Software build for promotion to customer test environments is prepared. Release Notes with narrative indicating new functionality, "how to" and any Administrative information.*
- *Release Notification – Sent to customers with release notes and request to schedule time to promote the new release to the customer test environment.*

Customer Test Environment

- *Promote to Customer test environment.*
- *Customers test in their test environment. If any critical defects are found during testing they are reported to Icon and a "Hot Fix" build may be programmed, tested and released to the customer test environment.*
- *Customer approves release.*

Customer Live Environment

- *Release is promoted to the customer's live environment.*

The goals in testing each application include validating the quality, usability, reliability, and performance of the application. Testing is performed from a black-box approach, not based on any knowledge of internal design or code. Tests are designed around satisfying the requirements and functionality associated with each item and the overall application. Additionally, tests are also designed to be repeatable for use in regression testing throughout the application's lifecycle. After a build is accepted into testing, functionality will be tested based upon the designated priority (critical, high, medium, or low).

The quality objectives of testing are as follows:

- *Verify software requirements are complete and accurate*
- *Perform detailed test planning*
- *Identify testing standards and procedures that will be used on the project*
- *Prepare and document test scenarios and test cases*
- *Regression testing to validate that unchanged functionality has not been affected by changes*
- *Provide testing summary reports*
- *Ensure the application is certified for release*

The two main concerns of testing are Quality and Reliability:

- *Quality – Quality software that is reasonably bug-free, meets requirements and/or expectations, and is maintainable.*
- *Reliability – Reliability is both the consistency and repeatability of the application. A large part of testing an application involves validating its reliability in its functions, data, and system availability. To ensure reliability the test approach will include both positive (expected input) and negative (break-it)*

functional tests. In addition, regression test will be performed on all iterations of the application throughout the development cycle.

Icon's criteria for items to enter and leave testing are as follows:

- *Entrance Criteria:*
  - *All business requirements are documented and approved by the business users*
  - *All design specifications have been reviewed and approved*
  - *Testing has been completed by the Development team*
  - *All hardware needed for the test environment is available*
  - *The application delivered to the test environment is of reliable quality*
  - *Code changes made to the application will follow the change control process*
  - *The changes have sufficient documentation to ensure testing efficiency*
- *Acceptance Criteria*
  - *All test scenarios have been completed successfully*
  - *Test replication procedures have been added to the respective regression folder in OnTime*
  - *All outstanding defects are documented in a test summary with a priority status*
  - *Sign-off from the QA Manager, Development Coordinator, and any other interested parties*

Test execution is the process of running tests against the application build to verify that the actual results meet the expected results. Defects discovered during the testing cycle are entered into OnTime and sent back to development. OnTime defects are organized into projects and placed into the current or next sprint based on the priority and severity of the issue. Once a developer fixes the defect, the fixed code is incorporated into the application, and the ticket is returned to testing. After all tests have been completed, the build will undergo a final regression test.

The following are types of tests that will be applied during the testing phase:

- *Functional Testing – Functional testing focuses on the functional requirements of the software and is performed to ensure the application operates accurately according to the documented specification and requirements and ensures that interfaces to external systems are working properly.*
- *Destructive Testing – Destructive testing focuses on the error detection and error prevention areas of the product. This testing is exercised to anticipate conditions where a user may encounter errors. Destructive testing is less structured than other test types and is determined by individual testers.*
- *Regression Testing – Regression testing is performed to verify that no new defects have been introduced into previously tested functions. Multiple regressions may be performed in one release cycle. Test Automation is used to enhance the regression effort.*
- *User Acceptance Testing – User acceptance testing will be performed by the business users. The purpose of this testing will be to ensure the application meets the users' expectations. This includes, but is not limited to usability, appearance, consistency of controls, consistency of field naming, accuracy of drop-down lists, spelling errors, accuracy of field defaults, tab sequences and error messaging.*

Icon incorporates Agile Testing Quadrants into all application testing. Individual units are tested thoroughly. Once individual units are accepted the surrounding functionality is tested on a business-use-case level. This not only ensures specific items are functioning correctly, but that the surrounding functionality continues to perform. Icon uses multiple strategies to test performance in order to exceed customer expectations. The key focus is database performance which is achieved by utilizing industry-standard performance enhancing techniques.

Regression tests are performed to on the individual components and expanded to test them working together as a group. This is done to make sure that new code changes have not disrupted existing functionalities within *the application. Multiple regressions may be performed prior to release in order to address any defects discovered. The result is an application release that has been thoroughly tested and is defect-free. Icon's regression testing is both automated and performed manually. This allows rigorous testing to be completed while still maintaining a high level of detail*

Since the proposed development methods are highly iterative, it is expected that the OCA and Stakeholders will be involved in each sprint/iteration phase. Testing will be performed in each phase, albeit the iterations will be defined with concise objectives. Regression testing plans are to automate as each iteration is moved to production.

.

5.1.2 Training

5.5.5.1 SOW Text

OCA seeks to utilize a train-the-trainer approach as well as end user training - based on the size and geographic location of the user group being trained. The Contractor shall deliver training courses defined in the Training Plan and provide a Training Completion Report.

Table 29: Training Deliverable Expectations

High Level Activities
This deliverable requires completion of the following steps: 1. The Contractor shall prepare a Training Plan, detailing the different stakeholder groups of trainees and the training methodology and courses to be used for each.

<table>
<tr><th colspan="2">High Level Activities</th></tr>
<tr><td colspan="2">2. The Contractor shall develop a detailed training curriculum, prepare training materials, and deliver training to users, technical staff, and personnel who will be responsible for training new end users and providing refresher training to other OCA and jurisdiction staff.
3. The Contractor shall deliver training courses defined in the Training Plan and provide a Training Completion Report.
4. The Contractor shall provide adequate end user support whether through user manuals or on-line help.</td></tr>
<tr><th>Associated Artifacts</th><th>Major Components</th></tr>
<tr><td>Training Planning, Curriculum, and Materials</td><td>1) Training Plan - Contractor shall create a Training Plan and provide training curriculum and materials that describe the following (at a minimum):
a) Course list;
b) Target audience role descriptions;
c) Specific learning objectives for each user and support role to be used to assess users’ readiness to perform their expected roles;
d) Lists of materials, facilities standards, equipment, user profiles, access procedures, work samples, and other items needed for each training session, including items that OCA is to furnish; and
e) Training calendar indicating the specific attendees and locations for all user training sessions; the calendar shall also indicate any planned phases or iterations in the delivery of training.
2) Training Curriculum and Materials:
a) Course presentation materials / user manuals (Trainer Version);
b) Course presentation materials that are current with the configuration and production release;
c) Recorded training videos;
d) Student training exercises;
e) Pre-assessment and post-assessment materials; and
f) Training data specifications for training exercises (if applicable), including training data initialization procedures</td></tr>
<tr><td>Training Completion Report</td><td>Contractor shall deliver training courses defined in the Training Plan and provide a Training Completion Report that includes the following (at a minimum):
a) Summary of all training provided including course, date and attendees;
b) Summarized training exercise results;
c) General observations of completed training and future training recommendations; and</td></tr>
</table>

High Level Activities	
	d) Satisfaction survey results (survey to be distributed to all stakeholders that participated in formal training classes)
Deliverables Acceptance Criteria	▪ Training Plan, Training Curriculum and Materials, and the Training Completion Plan are complete, correct and comply with the contract requirements and the Deliverables Expectation Document. ▪ All in-scope training has been conducted. OCA must formally approve each document before final acceptance of the deliverable.

Offeror Response to SOW Text (select one by entering an 'X' in the appropriate box):	
X	(1) Offeror accepts *SOW Text* for this section as provided.
	(2) Offeror requests alternate language for this SOW section (see below).
Offeror's alternate SOW Text (provide if option 2 selected above):	

5.5.5.2 Additional Offeror Response:

1. Offeror should identify the types of training proposed, such as:
    A. Initial Product Training;
    B. Train the Trainer sessions;
    C. Configuration Training sessions; and
    D. Application and System Administration Training sessions.
2. Offeror shall describe its approach for providing training to the roles described above, including the methodology to be used (e.g., online/virtual, classroom, etc.), and the approximate number of hours and/or days each role would be expected to spend in training.
3. Offeror shall identify their proposed method(s) of end user support materials (e.g., user manuals and/or on-line help), and the extent they will be customized for this project.

4. Describe any constraints and risks that can be a barrier to the success of the training effort, along with the actions that can be taken to address these constraints and risks.

Training Plan

Icon extends the processes that are described above and adds to them in the form of robust readiness assessments, which are short quizzes or tests, to check whether its training and knowledge transfer activities are well-received. These short quizzes are jointly designed with the OCA to ensure that they are focusing on the activities that the OCA believes are most critical. It is through these quizzes that Icon can identify weak areas and other commonalities that need to be addressed in a remedial training, ensuring that users are comprehending the process and workflow changes.

Readiness assessments are distributed to the audience after each training exercise, whether it be by video and/or conferencing software, in-person classroom style learning, or one-on-one education. The reason for this is Icon wants to validate that its methods are successful. Further, if it finds that users are not adapting to one form of training and scoring well on the readiness assessments, it allows the implementation team to shift gears and train those users in other ways that may be more conducive to their individual learning style.

All this is to say that Icon not only trains admins and end-users alike, but it verifies that they are learning every step of the way. This approach fosters greater communication and collaboration between the OCA admins, end-users, and Icon alike, that greatly reduces the chances of the project failing due to a lack user preparedness.

The training process is performed in multiple phases and will be customized to the OCA's unique needs. The training process will occur in conjunction with software implementation. Icon prefers to train onsite. However remote training sessions can be scheduled if desired or as supplemental training. For onsite training Icon requires the OCA provide a training space with workstations for trainees. Several of these phases may overlap in execution timelines.

Training sites, curriculums and schedules are established. This is inclusive of physical training sites, number of users to be trained, and roles of users so that appropriate training can be performed. "Key Users" are best identified during this stage. Key Users are users who will be the OCA's most knowledgeable users and can provide additional training and support to peers during implementation.

Training workstations and peripherals are set up at OCA's training site(s). Software should also be accessible on the workstations of all employees to be trained so that they can have access to the test environment post training to practice and reinforce concepts learned in training.

Icon provides customized training materials including but not limited to a training workbook and user/administrative manuals.

General training phases are as follows:

Initial User Training

Key Users are usually supervisors and high-end users. These users are often trained on all aspects of the system and often have higher levels of access to the system.

Standard Users are users described as general staff. Training for these users is usually customized to specific tasks they will complete. Their user access level is often restricted to their respective areas of service.

Administrative Users are users general tasked with administering routine system administration settings, (i.e., Rights/Roles, User Admin, Fee Admin) and generally have a basic technical background. After initial training it is expected that follow up training on an as-needed-basis.

Technical Users are users dedicated to system administration and generally have a higher level technical background. These users generally are comfortable working within a SQL and MS Server environment *and often share the Administrator duties. After initial training it is expected that follow up training on an as- needed-basis will be required until these users become accustomed to administrative practices.*

It is highly recommended that all users who have been trained have access to the training environment by having it available on their personal desktops immediately following training. This provides the users with the ability to process work in a test environment to help reinforce concepts taught in class and identify any areas of weakness so that additional training can be provided as necessary.

Individual Training

The one-on-one follow up can occur for several weeks after the initial training. This gives the users a chance to work with the system ask specific questions about software use as it affects their everyday workflow. Users are encouraged to process as many cases as time permits to gain confidence in the system and to identify any final adjustments necessary. This phase starts after Product Installation and the conversion enters the Remediation phase. This strengthens the user's knowledge and helps in gathering any additional requirements exposed post pre-installation and analysis phase. Additionally, users will begin to review converted data and provide feedback as to any irregularities.

5.1.3 Cutover

5.5.6.1 SOW Text

Table 30: Cutover Deliverable Expectations

High Level Activities
This deliverable requires completion of the following steps: 1. Finalize and execute the set of activities identified in the Cutover Plan to cutover eFileTexas 2.0 into production, according to a phased approach whereby eFileTexas 2.0 will be deployed in groups of jurisdictions over time. 1.1. The Contractor shall confirm the overall readiness of the hosted infrastructure and/or other third-party provided components to support the eFileTexas 2.0 application and operation. 2. Submit updated versions of previously developed plans to reflect activities to be undertaken as part of production support (see list of Associated Artifacts below). 3. Submit the final As-Built System documentation. 4. Submit the Cutover Completion Report. 4.1. The Contractor shall start providing Production Services once the first site is in production. 4.2. The Contractor shall monitor the production Solution to report on operations and performance metrics against service levels requirements defined in Attachment B: Service Level Agreement, transaction volumes, and status of application support and problem management activities. 5. Submit updated roles and responsibilities, and resumes, for key production support staff. 6. The Contractor shall provide a real-time Service-Level Performance Dashboard for OCA to monitor performance against the Attachment B: Service Level Agreement and associated Service Level Requirements. Results may be used to: 6.1. Create actionable strategies and remediation plans; 6.2. Communicate and manage contract performance; and 6.3. Enhance relationship management through open performance communication. 7. The Contractor and OCA will agree on additional points of contact and a reporting structure and schedule to

support day-to-day operations and reviews of the Contractor's performance. These may include technical, financial, and service level requirements reviews as well as the resolution of other operational issues.

8. Reporting structures will be documented and maintained by the Contractor in an online repository accessible to OCA's management team. A regular meeting schedule will be established for the reporting levels outlined in this document. The Contractor must provide processes and procedures acceptable to OCA that can be used to manage day-to-day relationships in meeting Service Level Requirements and shall include:
   8.1. Escalation;
   8.2. Contract change management; and
   8.3. Performance reporting (e.g., Service Level Requirements (SLRs), project status, outstanding service request status) as outlined in Attachment B: Service Level Agreement.

High Level Activities	
9. The Contractor shall provide tools and training methods for clerks, filers and general users as eFileTexas 2.0 is updated and new users are onboarded.	
Associated Artifacts	**Major Components**
Updated Versions of Implementation Plans for Production Support	Contractor shall provide updated versions of the following previously developed plans (or subplans) to ensure plans accurately describe the production environment and services to be provided upon cutover (note, each plan should include the minimum set of components defined within this SOW and as agreed to with OCA during the implementation project). a. Risk and Issue Management Plans (note associated Logs would carry over from the project to production) b. Integrated Change Management Plan c. Deployment Plan d. Configuration Management Plan e. Stakeholder Outreach and Communication Plan f. Security Plan g. Disaster Recovery and Business Continuity Plan h. Infrastructure Services Plan i. Help Desk Support Plan j. Test Plan k. Training Planning, Curriculum, and Materials

As-Built System Documentation	Contractor shall provide documentation specific to the OCA's eFileTexas 2.0 implementation. Contractor shall provide final as-built configuration documentation of each of the delivered environments, including the results of smoke tests of those environments. Contractor shall provide technical documentation of sufficient depth and clarity to enable OCA, EFSP, CMS vendor, and court technical personnel to understand the underlying structure and function of system components to troubleshoot the application interfaces (including platform, network, and security interfaces), to perform all global and jurisdiction administration and operation duties, and to plan for potential future integration with other applications.
Cutover Completion Report	Contractor shall provide a Cutover Completion Report that validates the full transition of eFileTexas 2.0 into production. The Contractor shall update the preliminary draft of the Cutover Plan created as part of the Execute phase with the finalized set of activities to cutover eFileTexas 2.0 into Production, according to a phased approach whereby eFileTexas 2.0 will be deployed in groups of jurisdictions over time.

High Level Activities	
	The final Cutover Plan shall include a detailed schedule that clearly defines key milestones, deliverables, tasks and responsibilities. Using the Cutover Plan as the guide, the Contractor will lead the deployment/cutover effort.
Deliverables Acceptance Criteria	▪ System Documentation and the Cutover Completion Report are complete, correct, and comply with the contract requirements and the Deliverables Expectation Document. ▪ eFileTexas 2.0 is successfully in production. OCA must formally approve each document before final acceptance of the deliverable.

Offeror Response (select one by entering an 'X' in the appropriate box):

X	(1) Offeror accepts *SOW Text* for this section as provided.
	(2) Offeror requests alternate language for this SOW section (see below).

Offeror's alternate SOW language (provide if option 2 selected above):

5.5.6.2 Additional Offeror Response: -

1. Offeror shall describe the Production Release approach for production cutover and activities required to begin production use of eFileTexas 2.0. The approach shall include the following, at a minimum:

   a. Key activities.
   Icon follows industry best practices as it relates to DevOps, this includes production release. Key activities will be fully defined in the SOW by both Icon and OCA.

   b. Critical success factors.
   Several of the critical success factors have already been defined by OCA but additional factors will be agreed to as a part of the SOW. Some of these factors will be minimal user impact, identify errors early in the dev process, no down time, and exceed performance indicators.

   c. Roles and responsibilities (for both the Offeror and OCA).

   Icon has provided a sample staffing diagram for OCA below. Actual roles and responsibilities will be determined jointly between Icon and OCA during negotiations.

OCA Roles and Responsibilities - Sample TX eFile 2.0			
Role	***# Staff***	***Responsibilities***	***Project Phase Involvement***
Court/Office Management	*2*	*Manage court/office resources assigned to the project.*	*All*
I.S. Technical Services Manager	*2*	*Manage I.S. resources assigned to the project.*	*All*
Organization Change Manager	*2*	*Oversee organizational change management plan and implementation.*	*All*
Project Manager	*1*	*Primary point of contact for the project on behalf of OCA.* *Oversees all aspects of the project*	*All*
Business Analyst	*2*	*Work with Project Manager and Icon on Business Processes. Assists on all Discovery Phases and Configuration.*	*All*
Application Administrator	*Multiple*	*Develop functional and administrative knowledge of EZFile Participate in Data testing. Provide application user-support.*	*Discovery Configuration*

			Trai ning Go Live
SME/ Technical Integration	*Multi ple*	*Participate in the development of interfaces, including specifications and testing.*	*Discovery Interfaces and Exports Go Live*
Enterprise Reports/Forms Creator	*Multi ple*	*Participate in the development of Forms and Reports, including specifications and testing. Develop knowledge of reports and forms creation in Icon.*	*Discovery Forms and Reports Go Live*
Desktop Support Engineer	*1*	*Provide workstation and peripheral support for assigned courts/offices.*	*Hardware/Infrastructure Set Up Go Live*
Database Administrator	1	Work with Icon to setup, backup and manage all related SQL Server database environments.	Hardware/Infrastructure Set Up Conversion Go Live
Network Administrator	1	Manage networking requirements.	Hardware/Infrastructure Set Up Go Live
SME/ Trainer	Multiple	Develop strong functional knowledge of product Participate in system configuration. Participate in testing. Participate in interface and customization specification and testing.	*Discovery Conversion Configuration Training Go Live*

d. Acceptance criteria.

The SOW will determine the final UAT document.

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

   Documentation will be available via the e-filing website. Users can either download a pdf or just use the documentation embedded on the website. Additionally, video tutorials will be available for the most used functions as determined by Icon and OCA. Documentation will be update semiannually or in conjunction with any major release.

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

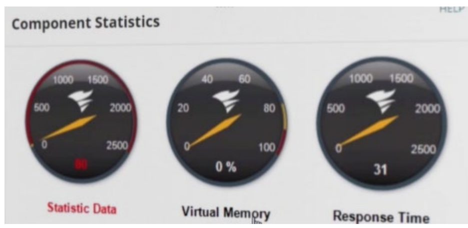
   The initial As-built documentation will be created in conjunction with the *implementation and delivered to OCA prior to Cut Over. As-built documentation will be reviewed for accuracy annually and updated with each major release.*

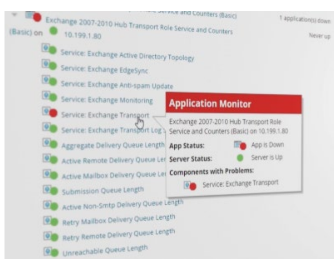
Describe the approach to provide ongoing training for clerks, filers and general users as eFileTexas 2.0 is updated and new users are onboarded.

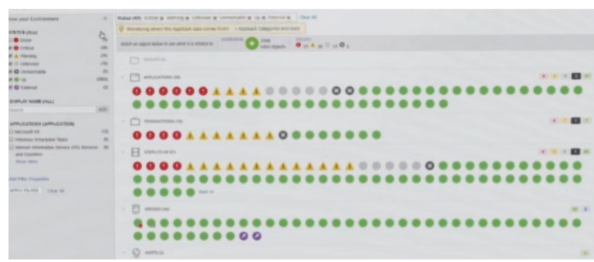
Icon believes in hands on, in person training however this strategy may have to be adjusted in a post-covid world. Icon will offer online trainings live with staff as well as on demand training available online. Icon recommends holding 2-5 webinars quarterly on the topics that OCA and Icon think are most needed for the courts and/or public filers.

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

   Icon is offering 24x7x365 monitoring services on the various components of the efiling system. Icon utilizes tools from Solarwinds to monitor all applications, infrastructure and hardware. Dashboards, reports and alerts will all be configured as part of the implementation. Sample screen shots are below, data can also be exported as reports for OCA.







5. Describe the Offeror's overall release and deployment management approach for minor and major application releases and how OCA's input as to the overall product roadmap is incorporated. Describe product management's strategy for customer alignment and engagement, release cadence, communication process, training plans, and risk mitigation plans to support EFSP's and CMS vendors impacted by releases.

   Icon provides between 2-4 releases per year and service packs as needed. These releases will include functionality to maintain compliance with all TX State and local laws as well as product enhancements. As the largest user of EZfile OCA would have considerable say in the direction of the product. Icon will arrange semiannual calls with OCA to discuss and clarify product enhancement requests received prior. Icon will provide OCA with a rolling roadmap of the product.

6. Describe Offeror's approach for maintaining technical currency and anticipated major releases for the next two years and how those releases will impact the eFileTexas 2.0.

   Icon stays involved at both the state and national level, participating in most NCSC events. Additionally, Icon is proactive in seeking out feedback from existing customers and partner vendors. All releases are fully regression tested and new versions are able to be rolled back if needed. Icon's next major release will come out of the implementation for eFileTexas 2.0. Icon understands that there will be development required for OCA and this development will become the next major version of EZFile in 2021.

5.1.4 Closeout

5.5.7.1 SOW Text

The project shall remain active until all deliverables have been accepted in accordance with acceptance criteria. Once achieved, the project shall enter the Project Closeout phase.

Table 31: Closeout Deliverable Expectations

High Level Activities
This deliverable requires completion of the following steps: 1. Complete project closeout and production readiness activities. Ensure the following have been addressed: 1.1. OCA has accepted all deliverables. 1.2. All outstanding issues and defects have been resolved or addressed. 1.3. The Contractor project team has documented the lessons learned or best practices identified during the project. 1.4. All project artifacts have been placed in the project repository. 1.5. Transition has been completed to operations, maintenance, and/or business. 1.6. Transition Open Defects to Support – any noted deficiencies will be enumerated and provide the action plan and timing for correction of each such deficiency. 1.7. Contractor shall transfer knowledge to eFileTexas 2.0 support staff. 2. Participate in lessons learned activities led by OCA

High Level Activities	
2.1. The purpose of lessons learned activities is to help the project team and stakeholders share knowledge gained from the project to facilitate repeating desirable outcomes and improvements for future projects and avoiding undesirable outcomes. 3. Business Outcomes Review 3.1. Contractor shall provide data needed for the Post Implementation Review of Business Outcomes (PIRBO) (in accordance with the Texas Project Delivery Framework and Quality Assurance Team (QAT) requirements) as part of support and maintenance. The PIRBO review will align project activities and business outcome measures. Therefore, data provided will measure progress towards achieving business outcomes defined in the Business Case (will be provided to Contractor by OCA for reference).	
Associated Artifacts	**Major Components**
Project Closeout	**1) Project Closeout Report** - The Contractor Project Manager provides a final report outlining the project's accomplishments and against the project scope, budget, schedule, and SLAs. **2) Monthly Production Support Templates –** Contractor shall create initial templates of monthly production support reports for OCA to verify that the reports are sufficient and accurate before the project closes; Reports shall include the following: a) Maintenance services completed per period. b) Maintenance services in progress per period. c) Maintenance services planned next period. d) Upcoming planned release schedule (minimum of 6 months forward looking). e) Risks and issues.
Deliverables Acceptance Criteria	▪ All project closeout activities have been completed in compliance with the contract and the Deliverables Expectation Document. ▪ Note: OCA must formally approve each document before final acceptance of the deliverable.

Offeror Response (select one by entering an 'X' in the appropriate box):	
X	(1) Offeror accepts *SOW Text* for this section as provided.
	(2) Offeror requests alternate language for this SOW section (see below).
Offeror's alternate SOW language (provide if option 2 selected above):	

5.5.7.2 Additional Offeror Response:

1. Offeror shall describe the process to define metrics to measure business outcomes and validate achievement.
2. Offeror shall describe approach to perform knowledge transfer to eFileTexas 2.0 support staff.

Icon will work with OCA to define detailed KPI's for this project. Typically, these KPI's come out of the discovery process. During discovery the Icon team will spend time with OCA SMEs to uncover requirements that may have been overlooked in the RFO. Metrics will be developed and agreed to following the workshop phase of the project.

Knowledge Transfer

Icon recognizes that this implantation will be a monumental task that requires intensive preparation and readiness assessments to ensure that the OCAt's end-users are well-prepared and equipped to handle the change to a new enterprise software solution. Icon does this by collaborating with the OCA and its senior staff members to design training plans that minimize disruption to the OCA's business procedures while simultaneously ensuring that the end-users are able to perform key job functions.

The hallmark of any successful knowledge transfer program begins with documentation. Documentation is critical to knowledge transfer because it is the act of writing down what one knows in an accessible, readable format that allows any user – regardless of their skills – to pick up and learn a new task, or set of tasks, to complete their job function. It is this enablement material that the Icon team often refers to because of its breadth of knowledge.

However, each customer has customized processes and workflows that must be documented and carefully explained to its users. To this end, the implementation team works with the OCA to design and implement training classes with supporting enablement materials that carefully introduce the end-users to the changes without overwhelming them. This is done by providing, before any training session or workshop, an Implementation Synopsis which provides a high-level overview of what is being taught, or discussed, and what the relevant prerequisites and enablement materials are to successfully follow along with the course and have success outside of a classroom setting. This approach accommodates users with a wide range of learning styles, ensuring that the message is clearly delivered.

5.6 Production Services

The Offeror will be responsible for providing ongoing production operations and maintenance services once the first site is in production.

A final comprehensive list of services will be included as an agreement in the contract between OCA and Contractor.

5.6.1 eFileTexas 2.0 Production Services

5.6.1.1 SOW Text

The Contractor shall be responsible for providing ongoing production services as agreed to in the final contract and the updated plans listed in Section 5.5.6 Cutover above once the first site is in production. Contractor shall update the plans annually or as otherwise mutually agreed upon in the Agreement.

Offeror Response (select one by entering an 'X' in the appropriate box):	
X	(1) Offeror accepts *SOW Text* for this section as provided.
	(2) Offeror requests alternate language for this SOW section (see below).
Offeror's alternate SOW language (provide if option 2 selected above):	

5.7 Service Level Agreement and Service Level Requirements

5.7.1 Service Level Agreement

Offeror Response (select one by entering an 'X' in the appropriate box):	
	(1) Offeror accepts Service Level Agreement language provided in Attachment B: Service Level Agreement.
X	(2) Offeror requests alternate language for the Service Level Agreement (see below).
Offeror's alternate SLA language (provide if option 2 selected above): B.4 Performance Reimbursement - For each Critical SLR Failure during the same Measurement Period, an additional **3%** of the monthly Charges will be reimbursed to OCA as Service Level Reimbursements within thirty (30) days of receipt of the applicable Report. The maximum amount of Service Level Reimbursement in any Contract Year shall not exceed **10%** of the Charges applicable to such Contract Year. If Contractor fails to achieve Critical SLRs eleven (11) or more times (provided each SLR is unique) in any rolling six (6) month period, Contractor shall be deemed to be in default of the Agreement.	

5.7.2 Service Level Requirements

Offeror Response (select one by entering an 'X' in the appropriate box):	
X	(1) Offeror accepts Service Level Requirements provided in Attachment B.1: Service Level Requirements.
	(2) Offeror requests alternate language in the table below.

Offeror's alternate language in Table 32 below (provide if option 2 selected above):

Attachment B.1: Service Level Requirements workbook is to be attached to the Service Level Agreement describing OCA's Service Level Requirements. The Offeror shall complete the below table to describe any exceptions to service level requirements and provide a justification for each exception. If the Offeror takes no exceptions to the service level requirements, state "none".

Table 32: Service Level Requirements Exceptions

SLR-ID	Proposed Change(s)	Justification(s)
None	None	None

5.8 Master Services Agreement –

The successful Offeror shall be required to execute the MSA included as Attachment A: Master Services Agreement. The terms and conditions in the MSA shall govern any agreement issued as a result of this RFO.

THE FOLLOWING PROVISIONS OF THE MSA ARE NON-NEGOTIABLE: ARTICLES 11 (INVOICING AND PAYMENT), 12 (E-FILING DATA AND OTHER CONFIDENTIAL INFORMATION), 14 (REPRESENTATION, WARRANTIES AND COVENANTS), 16 (INDEMNITIES), 17 (LIABILITY), 18 (DISPUTE RESOLUTION), AND 19 (TERMINATION) (COLLECTIVELY, THE "NON-NEGOTIABLE PROVISIONS"). IN ORDER TO BE QUALIFIED, AN OFFEROR MUST AFFIRM THAT THE OFFEROR WILL NOT TAKE EXCEPTION TO THE NON-NEGOTIABLE PROVISIONS. FAILURE TO DO SO WILL RESULT IN DISQUALIFICATION OF THE OFFEROR.

For those provisions not listed above as non-negotiable that are unacceptable, please identify, list and describe any exceptions taken in conformance with Table 33 below and separately provide a "red line" version of the MSA identifying the provisions taken exception to and providing alternate language where applicable.

Offeror Response (select one by entering an 'X' in the appropriate box):	
X	(1) Offeror accepts the Non-Negotiable Provisions. This box must be checked in order to be qualified to make this Offer.
	(2) Offeror accepts all provisions of the MSA provided in Attachment: Master Services Agreement.
X	(3) Offeror requests alternate language to the negotiable provision of the MSA in the table below and will separately provide a "red line" version of the MSA identifying the provisions taken exception to and providing alternate language where applicable.

Offeror's alternate language in the table below (provide if option 3 selected above):

Table 33: Exceptions to Master Services Agreement

#	Exception	Proposed Alternate Language
1		
2		
#	*Insert rows as necessary*	

Icon has provided exceptions to the in section 5.10.1.

5.9 Pricing

Offeror shall complete and submit the Cost Workbook (Attachment D: Cost Workbook) according to the instructions provided in the workbook.

The Cost Workbook provides the framework for providing detailed cost information for the implementation project delivered in Year 1 and the ongoing operations costs for Years 2 thru 11. The Cost Workbook must be the only document containing proposed cost information in the offer.

The Cost Workbook is in MS Excel format, and consists of the following tabs:

Table 34: Cost Workbook Structure

Tab #	Cost Workbook Tab Title
1	Instructions
2	Total Price
4	Implementation Services
5	Production Services
6	Pricing Assumptions
7	Hourly Rate T&M Services

For avoidance of doubt, data provided within Attachment D: Cost Workbook shall be incorporated into Exhibit 4 of the MSA.

The Cost Workbook has been included as a separate attachment per Section 2.2 Offer Format of the RFO.

5.10 Exceptions and Assumptions

5.10.1 Exceptions to the Statement of Work and Service Level Agreement

Any exceptions taken to the Statement of Work and/or Service Level Agreement are to be made in accordance with the format specified Sections 5.4, 5.5, 5.6, 5.7, and 5.8. Exceptions to the Statement of Work and/or Service Level Agreement are discouraged and will be looked upon unfavorably by OCA during the Offeror evaluation and selection process.

Icon has provided exceptions in the chart below. Additionally, a redlined version of the Master Services Agreement has been provided as a separate attachment.

#	Exception	Proposed Alternate Language
1	*Section 3.1(b). Pricing for the services during renewal periods cannot be permanently fixed at the prices originally charged.*	*Propose that the agreement include additional language in this Section that would provide "(including changes to pricing for such terms set forth in this Agreement)" and also revising the Section 10.1 Fees by inserting the following prior to the existing subsection (e):* *(e)Charges for Renewal Terms. The Charges for any Renewal Term will be set based on the criteria set forth in Exhibit 4.*
2	*Section 4.1(a) seems to provide that Contractor will not be entitled to compensation for any implementation services.*	*Suggest clarifying that fees are payable in accordance with the Agreement terms by adding the phrase "except as provided in this Agreement."*
3	*Section 4.1((c). Silent as to responsibilities of OCA.*	*Suggest adding the clause "OCA will provide the assistance and access as described in the Statement of Work."*
4	*Section 4.1(e)(ii). Sole discretion not appropriate. Remedy "at law" to be deleted because all remedies should be in expressly stated in the Agreement.*	*Replace "sole" with "reasonable" and delete "at law" in the section.*
5	*Section 4.2(b). The last clause is unclear because Contractor will not know what the requested services entail.*	*Suggest adding "and which are expressly detailed in the Statement of Work" at the end of the clause.*
6	*Section 4.3. It appears that OCA is*	*Contractor needs to understand this further as it*

	requiring all termination assistance service to be performed by Contractor for up to 12 months without charge. Reduction option subject to reservation of rights.	*does not believe that OCA is requesting all such assistance for free. Also, there needs to be a requirement that all fees have been paid by OCA. If the agreement was terminated by Contractor for nonpayment by OCA, there needs to be special protections here.* *Added at the end of 4.3(d): "Contractor reserves its rights to dispute the amount of proposed reduction."*
7	*Section 4.5(a)(iv). Correction may not be possible in two days, but commencement of correction is appropriate.*	*Suggest adding the phrase "or commence correction" as indicated.* *Added: "Contractor reserves its rights to dispute the amount of proposed reduction or other actions."*
8	*Section 4.5(a)(v). Addition of a workaround option is needed. The is Contractor's proprietary property and no third party can be allowed to provide correction.*	*Suggest adding "or provide and interim workaround" as indicated and deletion of current subsection (D) and (F).*
9	*Section 4.6(a) and (b). Best efforts not acceptable.*	*Commercially reasonable efforts.*
10	*Section 5.2 "Deliverable Fees" and SLA credits subject to further discussion and negotiation.*	*These concepts need to be discussed further.*
11	*Section 5.3(c). All remedies should be in expressly stated in the Agreement.*	*Deleted "at law or equity"*
12	*Section 5.4Satisfaction Surveys.*	*This section needs discussion. This is typically a cost of the customer, and the criteria for performance is based on the Agreement, now a survey.*
13	*Section 7.1(a). If additional reports not in SOW or SLA are requested, Contractor may require additional compensation.*	*Added to end of clause "If additional Reports require substantial effort, Contractor reserves the right to request a Change."*
13	*Section 7.1(c): Correction obligation in two days may not be possible.*	*Added "or commence correction of" as indicated.*
14	*Section 7.2. Clarify meetings method.*	*Added "All meetings my be held by teleconference or other electronic means."*
15	*Section 7.3. Internal Controls*	*Some of this is way beyond scope for the solution being offered. Subject to further discussion.*

16	*Section 7.4.Prohibition on Unauthorized Changes*	*See note regarding the need to discuss how OCA sees this clause as fitting within regular updates or upgrades and changes required by cybersecurity purposes.*
17	*Section 7.5(a). Subcontractors*	*Clarify that the restrictions do not apply to those not specifically involved with OCA work. Added "This section does not apply to subcontractors retained in the ordinary course by Contractor for general services provided to Contractor."*
18	*Section 7.5(d). Local assistance.*	*Deleted as Contractor is providing a SaaS based solution and will not be using substantial subcontractors.*
19	*Section 7.6(a). Best industry practices.*	*Changed to good industry practices. There is no consensus on a best industry practice and the compliance with the specification is is the key driver. Same point with "top-tier."*
20	*Section 8.1. Time limit on notice too short*	*See indicated change.*
21	*Section 9.1 Audits*	*Under review*
22	*Section 9.2. Benchmarking*	*Contractor disagrees that this section should be included or applicable.*
23	*Section 10.1*	*New section added per item #1 above.*
24	*Section 10.3(b)(i). Clarify methodology. Clarify that a termination under this clause is a Termination for Convenience.*	*See indicated change adding "in the manner mutually agreed by Contractor and OCA." Added to end "OCA shall pay Contractor the amounts set forth in Exhibit 4 as a termination charge."*
25	*Section 10.5 Most-favored customer clause not acceptable.*	*Section 10.5 deleted.*
26	*Section 13.1(b) and (d). Irrevocable license.*	*The license is not irrevocable but is only during the term of the Agreement. Added "during the term of this Agreement."*

27	*Section 13.1(c). License scope*	*Please explain the need for "the right to grant sublicenses to third parties to use for the benefit of OCA and its Authorized Users,"* *Clause deleted at this point.*
28	*Section 13.1(d). Rights after termination*	*Clause deleted as this is a SaaS product.*
29	*Section 13.1 (e) and (f).*	*See notes related to source code escrow.*
30	*Section 15*	*Policies cannot be provided. This has been changed to providing certificates. See noted changes.*
31	*Section 20.6(b). Assignment*	*Contractor requests the right to assign the agreement to a successor in interest provided that the successor assumes all obligations and is able to meet the obligations of this agreement.*
32	*Section 20.14 Remedies*	*Deleted clause that says that remedies outside of the contract are available.*
33	*Section 20.20*	*This clause would prohibit normal financing arrangements. Please explain.*
34	*Section 20.27 Guaranty*	*Clause deleted.*
35	*Definitions related to Benchmarking*	*Highlighted because Contractor objects to the clauses.*
36	*Definition of Developed Materials*	*Added clarification "All Contractor Owned Materials are excluded from this definition."*
37	*Definition of Termination Charge*	*Added "Additional Termination Charges are described in Exhibit 4."*
38	*Definition of Work Product*	*Added clarifying clause: "but excluding the Software or any Third Party Software"*

5.10.2 General Assumptions and Dependencies

Identify all general assumptions and dependencies associated with this offer in the table below; add additional rows as necessary. Please note that any cost-related information must not be stated here but must be included only in the Assumptions section of the Attachment D: Cost Workbook.

Table 35: General Assumptions and Dependencies

#	Assumptions and/or Dependencies
1	Clearly identify a Stake Holder team for each module or appropriate subsection to work with Icon who is empowered to provide definitive decision making in terms of requirements, change control, sign-off and workflow re-engineering.
2	Clearly identify and agree upon project requirements as per the OCA's definition of acceptance.
3	Provide a cooperative user community
4	Openly sponsor agreed upon workflow re-engineering, policy changes and change requirements with the OCA's User community.
5	Consider implementation of workflow and efficiency recommendations by Icon based on existing or proposed functionality
6	Provide a testing community (for pre-release and requirement testing).
7	Provide physical Icon staff co-location facilities and resources.
8	Provide Meeting and Training rooms.
9	Provide access to data environments (test, training, conversion and live), both onsite and remote.
10	Meet with Icon as scheduled (in person or via phone).
11	Provide, as timely as possible, delivery of assigned action items.
12	Recognize the impact on the delivery timeline of unscheduled changes and untimely delivery of assign action items

Attachments

Attachments E, F, and G have been included on the following pages.

Rev. 2/17

HUB Subcontracting Plan (HSP)

QUICK CHECKLIST

While this HSP Quick Checklist is being provided to merely assist you in readily identifying the sections of the HSP form that you will need to complete, it is very important that you adhere to the instructions in the HSP form and instructions provided by the contracting agency.

➤ **If you will be awarding all of the subcontracting work you have to offer under the contract to only Texas certified HUB vendors, complete:**

- [x] Section 1 - Respondent and Requisition Information
- [x] Section 2 a. - Yes, I will be subcontracting portions of the contract.
- [x] Section 2b . - List all the portions of work youw ill subcontract, and indicate thep ercentage of the contract you expect to award to Texas certified HUB vendors.
- [x] Section 2 c. -Y es
- [x] Section 4 - Affirmation
- [x] GFEM ethodA (Attachment A) - Complete an Attachment Af or each of the subcontracting opportunities you listed in Section 2 b.

➤ **If you will be subcontracting any portion of the contract to Texas certified HUB vendors and Non-HUB vendors, and the aggregate percentage of all the subcontracting work you will be awarding to the Texas certified HUB vendors with which you do nothave a *continuous contract** in place for more than five (5) years *meets or exceeds* the HUB Goal the contracting agency identified in the "Agency Special Instructions/Additional Requirements", complete:**

- [ ] Section 1 - Respondent and Requisition Information
- [ ] Section 2 a. - Yes, I will be subcontracting portions of the contract.
- [ ] Section 2 b.- List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors and Non-HUB vendors.
- [ ] Section 2 c. - No
- [ ] Section 2 d.- Yes
- [ ] Section 4- Affirmation
- [ ] GFE Method A (Attachment A) - Complete an Attachment A for each of the subcontracting opportunities you listed in Section 2 b.

➤ **If you will be subcontracting any portion of the contract to Texas certified HUB vendors and Non-HUB vendors or only to Non-HUB vendors, and the aggregate percentage of all the subcontracting work you will be awarding to the Texas certified HUB vendors with which you do not have a *continuous contract** in place for more than five (5) years *does not meet or exceed* the HUB Goal the contracting agency identified in the "Agency Special Instructions/Additional Requirements", complete:**

- [ ] Section 1 - Respondent and Requisition Information
- [ ] Section 2 a. - Yes, I will be subcontracting portions of the contract.
- [ ] Section 2 b.- List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors and Non-HUB vendors.
- [ ] Section 2 c. - No
- [ ] Section 2 d.- No
- [ ] Section 4- Affirmation
- [ ] GFE Method B (Attachment B) - Complete an Attachment B for each of the subcontracting opportunities you listed in Section 2 b.

➤ **If you will not be subcontracting any portion of the contract and will be fulfilling the entire contract with your own resources (i.e., employees, supplies, materials and/or equipment), complete:**

- [ ] Section 1 - Respondent and Requisition Information
- [ ] Section 2 a. - No, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources.
- [ ] Section 3 -S elf Performing Justification
- [ ] Section 4- Affirmation

***Continuous Contract**: Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service, to include under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.*

Rev. 2/17

HUB Subcontracting Plan (HSP)

In accordance with Texas Gov't Code §2161.252, the contracting agency has determined that subcontracting opportunities are probable under this contract. Therefore, all respondents, including State of Texas certified Historically Underutilized Businesses (HUBs) must complete and submit this State of Texas HUB Subcontracting Plan (HSP) with their response to the bid requisition (solicitation).

NOTE: Responses that do not include a completed HSP shall be rejected pursuant to Texas Gov't Code §2161.252(b).

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.284 are:

- ***11.2 percent for heavy construction other than building contracts,***
- ***21.1 percent for all building construction, including general contractors and operative builders' contracts,***
- ***32.9perc ent for all special trade constructioncontr acts,***
- ***23.7perc ent for professionalser vicescontra cts,***
- ***26.0perc ent for all other services contracts, and***
- ***21.1 percent for commodities contracts.***

- - AgencyS pecial Instructions/Additional Requirements - -

*In accordance with 34 TAC§20.285(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent **does not** have a **continuous contract*** in place for **more than five (5) years** shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.*

The HUB goals for this procurement are:

- 21.1% - commodities contracts; and
- 26.0% - all other services contracts.

All Offerors, HUB and non-HUB, are required to submit a completed HUB Subcontracting Plan (HSP) with their response. Failure to submit a completed HSP shall result in the Offer to be considered non-responsive.

For a list of potential subcontracting opportunities, refer to Section 3.3 of the Request for Offer (RFO).
--Respondents using Checklist Option 3 must complete the HSP Good Faith Effort - Method B (Attachment B) for EACH subcontracting opportunity identified in Section 2 of the HSP.

--Please note: (Section B-3: Notification of Subcontracting Opportunity) of Attachment B requires respondent to provide notice to three (3) or more Texas certified HUBs AND two (2) or more Texas trade organizations and development centers for EACH subcontracting opportunity identified in Section 2.

--These notification must be done at least seven (7) working days prior to submitting your bid response to the contracting agency to allow time for the potential subcontractor to respond. ***Seven (7) working days shall be defined as business days of OCA, not including weekends or OCA observed holidays. The first working days shall be the day following the day that the notice was sent, and the 7th day is the day that the response is due.

--Provide along with all documentation (i.e., certified letter, fax, e-mail) and a copy of the CMBL/HUB Vendor Detail page. This is to ensure that the Texas certified HUB that is listed is an Active Bidder.

SECTION 1: RESPONDENT AND REQUISITION INFORMATION

a. Respondent(Com pany) Name: Icon Software Corp — State of Texas VID #: N/A

Point of Contact: Naomi Skopec — Phone #: 800-428-4855

E-mailAd dress: nskopec@ptghome.com — Fax #: 800-428-9037

b. Isy our companya State of Texasc ertified HUB? ☐ **- Yes** ☑ **- No**

c. Requisition# : eFileTexas RFO 212-20-0385 — Bid Open Date: 6/16/2020 (mm/dd/yyyy)

Enter your company's name here: Icon Software Corp   Requisition #: eFileTexas RFO 212-20-0385

SECTION 2: RESPONDENT's SUBCONTRACTING INTENTIONS

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, **including contracted staffing, goods and services will be subcontracted**. Note: In accordance with 34 TAC §20.282, a "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

a. Check the appropriate box (Yes or No) that identifies your subcontracting intentions:

- ☑ - ***Yes***, I will be subcontracting portions of the contract. (If ***Yes***, complete Item b of this SECTION and continue to Item c of this SECTION.)
- ☐ - ***No***, I will not be subcontracting <u>any</u> portion of the contract, and I will be fulfilling the entire contract with my own resources, including employees, goods and services. (If ***No***, continue to SECTION 3 and SECTION 4.)

b. List all the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you <u>do not</u> have a <u>continuous contract</u>* in place for <u>more than five (5) years</u>.	Percentage of the contract expected to be subcontracted to HUBs with which you have a <u>continuous contract</u>* in place for <u>more than five (5) years</u>.	Percentage of the contract expected to be subcontracted to non-HUBs.
1	Project Management, Training, Documentation	30 %	%	%
2	Development	17.1 %	%	%
3		%	%	%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
	Aggregate percentages of the contract expected to be subcontracted:	47.1 %	%	%

(Note: If you have more than fifteen subcontracting opportunities, a continuation sheet is available online at https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php).

c. Check the appropriate box (Yes or No) that indicates whether you will be using **<u>only</u>** Texas certified HUBs to perform **<u>all</u>** of the subcontracting opportunities you listed in SECTION 2, Item b.

- ☑ - ***Yes*** (If ***Yes***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **<u>each</u>** of the subcontracting opportunities you listed.)
- ☐ - ***No*** (If ***No***, continue to Item d, of this SECTION.)

d. Check the appropriate box (Yes or No) that indicates whether the aggregate expected percentage of the contract you will subcontract **<u>with Texas certified HUBs</u>** with which you **<u>do not</u>** have a **<u>continuous contract</u>*** in place with for **<u>more than five (5) years</u>**, **<u>meets or exceeds</u>** the HUB goal the contracting agency identified on page 1 in the "**Agency Special Instructions/Additional Requirements**."

- ☑ - ***Yes*** (If ***Yes***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **<u>each</u>** of the subcontracting opportunities you listed.)
- ☐ - ***No*** (If ***No***, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method B (Attachment B)" for **<u>each</u>** of the subcontracting opportunities you listed.)

****<u>Continuous Contract</u>*: Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.***

Enter your company's name here: Icon Software Corp   Requisition #: eFileTexas RFO 212-20-0385

SECTION 2: RESPONDENT's SUBCONTRACTING INTENTIONS (CONTINUATION SHEET)

This page can be used as a continuation sheet to the HSP Form's page 2, Section 2, Item b. Continue listing the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you do not have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to HUBs with which you have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to non-HUBs.
16		%	%	%
17		%	%	%
18		%	%	%
19		%	%	%
20		%	%	%
21		%	%	%
22		%	%	%
23		%	%	%
24		%	%	%
25		%	%	%
26		%	%	%
27		%	%	%
28		%	%	%
29		%	%	%
30		%	%	%
31		%	%	%
32		%	%	%
33		%	%	%
34		%	%	%
35		%	%	%
36		%	%	%
37		%	%	%
38		%	%	%
39		%	%	%
40		%	%	%
41		%	%	%
42		%	%	%
43		%	%	%
Aggregate percentages of the contract expected to be subcontracted:		%	%	%

******Continuous Contract*: *Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.*

Enter your company's name here: Icon Software Corp Requisition #: eFileTexas RFO 212-20-0385

SECTION 3: SELF PERFORMING JUSTIFICATION (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.) If you responded "No" to SECTION 2, Item a, in the space provided below **explain how** your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

SECTION 4: AFFIRMATION

As evidenced by my signature below, I affirm that I am an authorized representative of the respondent listed in SECTION 1, and that the information and supporting documentation submitted with the HSP is true and correct. Respondent understands and agrees that, if awarded any portion of the requisition:

- The respondent will provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor for the awarded contract. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.
- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying its compliance with the HSP, including the use of and expenditures made to its subcontractors (HUBs and Non-HUBs). (The PAR is available at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/ProgressAssessmentReportForm.xls).
- The respondent must seek approval from the contracting agency prior to making any modifications to its HSP, including the hiring of additional or different subcontractors and the termination of a subcontractor the respondent identified in its HSP. If the HSP is modified without the contracting agency's prior approval, respondent may be subject to any and all enforcement remedies available under the contract or otherwise available by law, up to and including debarment from all state contracting.
- The respondent must, upon request, allow the contracting agency to perform on-site reviews of the company's headquarters and/or work-site where services are being performed and must provide documentation regarding staffing and other resources.

[signature]	Marty Hahn	CEO	6/11/2020
Signature	Printed Name	Title	Date (mm/dd/yyyy)

Reminder:

- If you responded "**Yes**" to **SECTION 2, Items c or d**, you must complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed in SECTION 2, Item b.
- If you responded "**No**" **SECTION 2, Items c and d**, you must complete an "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed in SECTION 2, Item b.

HSP Good Faith Effort - Method A (Attachment A)

Rev. 2/17

Enter your company's name here: Icon Software Corp   Requisition #: eFileTexas RFO 212-20-0385

IMPORTANT: If you responded "***Yes***" to **SECTION 2, Items c** or **d** of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed in **SECTION 2, Item b** of the completed HSP form. You may photo-copy this page or download the form at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-gfe-achm-a.pdf

SECTION A-1: SUBCONTRACTING OPPORTUNITY

Enter the item number and description of the subcontracting opportunity you listed in SECTION 2, Item b, of the completed HSP form for which you are completing the attachment.

Item Number: 1   **Description:** Professional Services including: Training, Project Management, Documentation, Support

SECTION A-2: SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas certified HUB and their Texas Vendor Identification (VID) Number or federal Employer Identification Number (EIN), the approximate dollar value of the work to be subcontracted, and the expected percentage of work to be subcontracted. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp. HUB status code "**A**" signifies that the company is a Texas certified HUB.

Company Name	Texas certified HUB	Texas VID or federal EIN Do not enter Social Security Numbers. If you do not know their VID / EIN, leave their VID / EIN field blank.	Approximate Dollar Amount	Expected Percentage of Contract
5wards Group	☑ - Yes ☐ - No	82-1442335	$16,535,418	15 %
Cooper Consulting	☑ - Yes ☐ - No	174-2723942500	$16,535,418	15 %
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%

REMINDER: As specified in SECTION 4 of the completed HSP form, if you (respondent) are awarded any portion of the requisition, you are required to provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.

HSP Good Faith Effort - Method A (Attachment A)

Rev. 2/17

Enter your company's name here: Icon Software Corp   Requisition #: eFileTexas RFO 212-20-0385

IMPORTANT: If you responded "***Yes***" to **SECTION 2, Items c** or **d** of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed in **SECTION 2, Item b** of the completed HSP form. You may photo-copy this page or download the form at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-gfe-achm-a.pdf

SECTION A-1: SUBCONTRACTING OPPORTUNITY

Enter the item number and description of the subcontracting opportunity you listed in SECTION 2, Item b, of the completed HSP form for which you are completing the attachment.

Item Number: 2   **Description:** Software Development

SECTION A-2: SUBCONTRACTOR SELECTION

List the subcontractor(s) you selected to perform the subcontracting opportunity you listed above in SECTION A-1. Also identify whether they are a Texas certified HUB and their Texas Vendor Identification (VID) Number or federal Employer Identification Number (EIN), the approximate dollar value of the work to be subcontracted, and the expected percentage of work to be subcontracted. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp. HUB status code "**A**" signifies that the company is a Texas certified HUB.

Company Name	Texas certified HUB	Texas VID or federal EIN Do not enter Social Security Numbers. If you do not know their VID / EIN leave their VID / EIN field blank.	Approximate Dollar Amount	Expected Percentage of Contract
5wards Group	☑ - Yes ☐ - No	82-1442335	$ 9,400,000.00	8.55 %
Cooper Consulting	☑ - Yes ☐ - No	174-2723942500	$ 9,400,000.00	8.55 %
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%

REMINDER: As specified in SECTION 4 of the completed HSP form, if you (respondent) are awarded any portion of the requisition, you are required to provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.

HSP Good Faith Effort - Method B (Attachment B)

Rev. 2/17

Enter your company's name here: Icon Software Corp   Requisition #: eFileTexas RFO 212-20-0385

IMPORTANT*:** If you responded "No***" to **SECTION 2, Items c** and **d** of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed in **SECTION 2, Item b** of the completed HSP form. You may photo-copy this page or download the form at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-gfe-achm-b.pdf.

SECTION B-1: SUBCONTRACTING OPPORTUNITY

Enter the item number and description of the subcontracting opportunity you listed in SECTION 2, Item b, of the completed HSP form for which you are completing the attachment.

Item Number: _____ **Description:** ______________________________

SECTION B-2: MENTOR PROTÉGÉ PROGRAM

If respondent is participating as a Mentor in a State of Texas Mentor Protégé Program, submitting its Protégé (Protégé must be a State of Texas certified HUB) as a subcontractor to perform the subcontracting opportunity listed in **SECTION B-1**, constitutes a good faith effort to subcontract with a Texas certified HUB towards that specific portion of work.

Check the appropriate box (Yes or No) that indicates whether you will be subcontracting the portion of work you listed in SECTION B-1 to your Protégé.

☐ - **Yes** (If ***Yes***, continue to SECTION B-4.)

☐ - **No / Not Applicable** (If ***No*** or ***Not Applicable***, continue to SECTION B-3 and SECTION B-4.)

SECTION B-3: NOTIFICATION OF SUBCONTRACTING OPPORTUNITY

When completing this section you MUST comply with items **a, b, c and d**, thereby demonstrating your Good Faith Effort of having notified Texas certified HUBs and trade organizations or development centers about the subcontracting opportunity you listed in SECTION B-1. Your notice should include the scope of work, information regarding the location to review plans and specifications, bonding and insurance requirements, required qualifications, and identify a contact person. When sending notice of your subcontracting opportunity, you are encouraged to use the attached HUB Subcontracting Opportunity Notice form, which is also available online at https://www.comptroller.texas.gov/purchasing/docs/hub-forms/HUBSubcontractingOpportunityNotificationForm.pdf.

Retain supporting documentation (i.e., certified letter, fax, e-mail) demonstrating evidence of your good faith effort to notify the Texas certified HUBs and trade organizations or development centers. Also, be mindful that a working day is considered a normal business day of a state agency, not including weekends, federal or state holidays, or days the agency is declared closed by its executive officer. The initial day the subcontracting opportunity notice is sent/provided to the HUBs and to the trade organizations or development centers is considered to be "day zero" and does not count as one of the seven (7) working days.

a. Provide written notification of the subcontracting opportunity you listed in SECTION B-1, to three (3) or more Texas certified HUBs. Unless the contracting agency specified a different time period, you must allow the HUBs at least seven (7) working days to respond to the notice prior to you submitting your bid response to the contracting agency. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp. HUB status code "**A**" signifies that the company is a Texas certified HUB.

b. List the **three (3) Texas certified HUBs** you notified regarding the subcontracting opportunity you listed in SECTION B-1. Include the company's Texas Vendor Identification (VID) Number, the date you sent notice to that company, and indicate whether it was responsive or non-responsive to your subcontracting opportunity notice.

Company Name	Texas VID (Do not enter Social Security Numbers.)	Date Notice Sent (mm/dd/yyyy)	Did the HUB Respond?
			☐ - Yes ☐ - No
			☐ - Yes ☐ - No
			☐ - Yes ☐ - No

c. Provide written notification of the subcontracting opportunity you listed in SECTION B-1 to two (2) or more trade organizations or development centers in Texas to assist in identifying potential HUBs by disseminating the subcontracting opportunity to their members/participants. Unless the contracting agency specified a different time period, you must provide your subcontracting opportunity notice to trade organizations or development centers at least seven (7) working days prior to submitting your bid response to the contracting agency. A list of trade organizations and development centers that have expressed an interest in receiving notices of subcontracting opportunities is available on the Statewide HUB Program's webpage at https://www.comptroller.texas.gov/purchasing/vendor/hub/resources.php.

d. List **two (2) trade organizations or development centers** you notified regarding the subcontracting opportunity you listed in SECTION B-1. Include the date when you sent notice to it and indicate if it accepted or rejected your notice.

Trade Organizations or Development Centers	Date Notice Sent (mm/dd/yyyy)	Was the Notice Accepted?
		☐ - Yes ☐ - No
		☐ - Yes ☐ - No

HSP Good Faith Effort - Method B (Attachment B) Cont.

Rev. 2/17

Enter your company's name here: Icon Software Corp

Requisition #: eFileTexas RFO 212-20-0385

SECTION B-4: SUBCONTRACTOR SELECTION

Enter the item number and description of the subcontracting opportunity you listed in **SECTION 2, Item b,** of the completed HSP form for which you are completing the attachment.

a. Enter the item number and description of the subcontracting opportunity for which you are completing this Attachment B continuation page.

Item Number: _____ **Description:** ____________________

b. List the subcontractor(s) you selected to perform the subcontracting opportunity you listed in **SECTION B-1**. Also identify whether they are a Texas certified HUB and their Texas Vendor Identification (VID) Number or federal Emplioyer Identification Number (EIN), the approximate dollar value of the work to be subcontracted, and the expected percentage of work to be subcontracted. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp. HUB status code "**A**" signifies that the company is a Texas certified HUB.

Company Name	Texas certified HUB	Texas VID or federal EIN Do not enter Social Security Numbers. If you do not know their VID / EIN, leave their VID / EIN field blank.	Approximate Dollar Amount	Expected Percentage of Contract
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%
	☐- Yes ☐ - No		$	%
	☐ - Yes ☐ - No		$	%

c. If any of the subcontractors you have selected to perform the subcontracting opportunity you listed in **SECTION B-1** is **not** a Texas certified HUB, provide written justification for your selection process (attach additional page if necessary):

REMINDER: As specified in SECTION 4 of the completed HSP form, if you (respondent) are awarded any portion of the requisition, you are required to provide notice as soon as practical to **all** the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity it (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.

Antitrust Certification Statement
(Tex. Government Code § 2155.005)

I affirm under penalty of perjury of the laws of the State of Texas that:

(1) I am duly authorized to execute this contract on my own behalf or on behalf of the company, corporation, firm, partnership or individual (Company) listed below;

(2) In connection with this bid, neither I nor any representative of the Company have violated any provision of the Texas Free Enterprise and Antitrust Act, Tex. Bus. & Comm. Code Chapter 15;

(3) In connection with this bid, neither I nor any representative of the Company have violated any federal antitrust law; and

(4) Neither I nor any representative of the Company have directly or indirectly communicated any of the contents of this bid to a competitor of the Company or any other company, corporation, firm, partnership or individual engaged in the same line of business as the Company.

Vendor	Icon Software Corp	**Bidder**	Ryan J. Crowley Signature
			Ryan Crowley Printed Name
			Sales Lead Position with Company
Address	3453 Lawrecnceville-Suwanee Rd Suite A Suwanee, GA 30024	**Official Authorizing Bid**	Marty Hahn Signature
			Marty Hahn Printed Name
Phone	800-428-4855		Chief Executive Officer Position with Company
Fax	800-428-9037		

Attachment G Execution of Offer

NOTE: THIS ATTACHMENT MUST BE SIGNED AND RETURNED WITH THE OFFER. OFFERS THAT DO NOT INCLUDE THIS ATTACHMENT WILL BE DISQUALIFIED. THE OFFER SHALL BE VOID IF FALSE STATEMENTS ARE CONTAINED IN THIS ATTACHMENT.

By signature hereon, Offeror certifies that:

All statements and information prepared and submitted in the response to this RFO are current, complete, and accurate.

Offeror has not given, offered to give, nor intends to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted response.

Neither Offeror nor the firm, corporation, partnership, or institution represented by Offeror or anyone acting for such firm, corporation, or institution has (1) violated the antitrust laws of the State of Texas under Texas Business & Commerce Code, Chapter 15, or the federal antitrust laws; or (2) communicated the contents of this Offer either directly or indirectly to any competitor or any other person engaged in the same line of business during the procurement process for this RFO.

When a Texas business address is shown hereon, that address is, in fact, the legal business address of Offeror and Offeror qualifies as a Texas Resident Bidder under 1 TAC §111.2.

Under Government Code §2155.004, no person who prepared the specifications or this RFO has any financial interest in Offeror's Offer. If Offeror is not eligible, then any contract resulting from this RFO shall be immediately terminated. Furthermore, "under Section 2155.004, Government Code, the vendor [Offeror] certifies that the individual or business entity named in this bid or contract is not ineligible to receive the specified contract and acknowledges that this contract may be terminated and payment withheld if this certification is inaccurate."

Under Family Code §231.006, relating to child support obligations, Offeror and any other individual or business entity named in this solicitation are eligible to receive the specified payment and acknowledge that this contract may be terminated and payment withheld if this certification is inaccurate.

The names and social security numbers of any person or entity holding at least a twenty-five percent (25%) ownership interest in the business entity submitting the Offer are as follows:

Name: N/A	**Social Security Number:**
Name:	**Social Security Number:**
Name:	**Social Security Number:**

In accordance with Government Code §2252.901, Offeror certifies that no principal of Offeror was an employee of the Office of Court Administration within the past year, and that no employee of Offeror who was an employee of the Office of Court Administration within the past year will perform services if Offeror is awarded this contract.

Offeror represents that no person who, in the past four years, served as an executive of the Office of Court Administration or any other state agency, was involved with or has any interest in this Offer or any contract resulting from this Offer. If Offeror employs or has used the services of a former executive head of the Office of Court Administration or other state agency, then Offeror shall provide the following information: Name of former executive, name of state agency, date of separation from state agency, position with Offeror, and date of employment with Offeror.

Offeror agrees that any payments due under this contract will be applied towards any debt, including but not limited to delinquent taxes and child support that is owed to the State of Texas.

Offeror certifies that the responding entity and its principals are eligible to participate in this transaction and have not been subjected to suspension, debarment, or similar ineligibility determined by any federal, state or local governmental entity and that Offeror is in compliance with the State of Texas statutes and rules relating to procurement and that Offeror is not listed on the federal government's terrorism watch list as described in the President's Executive Order (EO) 13224, Executive Order on Terrorist Financing – Blocking Property and Prohibiting Transactions With Persons Who Commit, Threaten to Commit, or Support Terrorism, effective 9/24/2001 and any subsequent changes made to it. Entities ineligible for federal procurement are listed at http://www.sam.gov/.

Under Section 2155.006(b) of the Texas Government Code, a state agency may not accept a bid or award a contract, including a contract for which purchasing authority is delegated to a state agency, that includes proposed financial participation by a person who, during the five year period preceding the date of the bid or award, has been: (1) convicted of violating a federal law in connection with a contract awarded by the federal government for relief, recovery, or reconstruction efforts as a result of Hurricane Rita, as defined by Section 39.459, Utilities Code, Hurricane Katrina, or any other disaster occurring after September 24, 2005; or (2) assessed a penalty in a federal civil or administrative enforcement action in connection with a contract awarded by the federal government for relief, recovery, or reconstruction efforts as a result of Hurricane Rita, as defined by Section 39.459, Utilities Code, Hurricane Katrina, or any other disaster occurring after September 24, 2005. Under Section 2155.006 of the Texas Government Code, the bidder certifies that the individual or business entity named in this bid is not ineligible to receive the specified contract and acknowledges that any contract resulting from this RFO may be terminated and payment withheld if this certification is inaccurate.

The acceptance of funds by the Offeror or any other entity or person directly under this contract or indirectly through a subcontract under this contract authorizes the state auditor to conduct an audit or investigation in connection with those funds. Offeror or any other entity that is the subject of an audit or investigation by the state auditor must provide the state auditor with access to any information the state auditor considers relevant to the investigation or audit. Offeror will ensure that this clause concerning the authority to audit funds received indirectly by subcontractors through the vendor and the requirement to cooperate is included in any subcontract it awards.

Offeror acknowledges that OCA is required to post to the Legislative Budget Board's public website information about this solicitation, response documents and any awarded contract. Offeror also acknowledges that a requestor who is denied access to information marked confidential or proprietary by Offeror may appeal OCA's withholding of this information under Rule 12 of the Rules of Judicial Administration. Offeror acknowledges that OCA makes no guarantee that a Rule 12 appeal panel will uphold any argument for denying access to any information within an offer and that the decision of a Rule 12 appeal panel is final and binding on OCA.

PREFERENCES

Offeror represents and warrants that it qualifies for all preferences indicated below (check applicable boxes). Not all preferences apply to all procurements. Texas bidder preferences may not apply to contracts with out -of-state or foreign entities. For more information about preferences, see the State of Texas Procurement and Contract Management Guide.

Tie bid preferences (Tex. Gov. Code 2155.444):

- ☐ Goods or services produced or offered by a Texas bidder that is owned by a Texas resident service-disabled veteran
- ☐ Texas vegetation native to the region, for landscaping
- ☐ Agricultural products grown in Texas
- ☐ Agricultural products offered by a Texas bidder
- ☐ Non-agricultural goods produced in Texas or offered by a Texas bidder that is not owned by a Texas resident service-disabled veteran
- ☐ Services offered by a Texas bidder that is not owned by a Texas resident service-disabled veteran
- ☐ USA-produced supplies, materials or equipment

Specification preferences:

- ☐ Products made of recycled, remanufactured, or environmentally sensitive materials (Tex. Gov. Code 2155.445)
- ☐ Energy-efficient products (Tex. Gov. Code 2155.442)
- ☐ Rubberized asphalt paving material (Tex. Gov. Code 2155.443)
- ☐ Recycled motor oil and lubricants (Tex. Gov. Code 2155.447)
- ☐ Recycled paper products (Tex. Gov. Code 2155.448(a))
- ☐ Foods of higher nutritional value, for public cafeterias (Tex. Gov. Code 2155.452)
- ☐ Manufacturers that recycle or reuse computer equipment made by other manufacturers (Tex. Health and Safety Code 361.965(d))

Source preferences:

- ☐ Products produced at facilities located on formerly contaminated property (Tex. Gov. Code 2155.450)
- ☐ Products and services from economically depressed or blighted areas (Tex. Gov. Code 2155.449, 2306.004)
- ☐ Vendors that meet or exceed air quality standards (Tex. Gov. Code 2155.451)
- ☐ Products made by persons with disabilities (Tex. Gov. Code 2155.441)
- ☐ Products made by Texas Correctional Industries (Tex. Gov. Code Ch. 497)

Offeror represents and warrants that the individual signing this Execution of Offer is authorized to sign this document on behalf of Offeror and to bind Offeror under any contract resulting from this Offer.

OFFEROR (COMPANY): Icon Software Corporation

SIGNATURE ():

NAME (TYPED/PRINTED): Marty Hahn

TITLE: Chief Executive Officer DATE: 6/12/2020

STREET: 3453 Lawrenceville-Suwanee Rd, Suite A

CITY/STATE/ZIP: Suwanee, GA 30024

TELEPHONE AND FACSIMILE NUMBERS: T: 800-428-4855 F: 800-428-9037

TEXAS IDENTIFICATION NUMBER (TIN): N/A