

EnABLE™

Transformative Financial and Program Management
Software for Government

RESPONSE TO RFP SP-20-0097

Financial Management and Loan and Grant Servicing Software

PREPARED FOR:

Arkansas Natural Resources Commission

August 11, 2020

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PROPOSAL SIGNATURE PAGE

PROSPECTIVE CONTRACTOR'S INFORMATION					
Company:	Technology Partnership Group, Inc.				
Address:	8481 Bash Street, Suite 1300				
City:	Indianapolis	State:	Indiana	Zip Code:	46250
Business Designation:	<input checked="" type="checkbox"/> Individual <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Public Service Corp <input type="checkbox"/> Partnership <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Nonprofit				
Minority and Women-Owned Designation*:	<input checked="" type="checkbox"/> Not Applicable <input type="checkbox"/> American Indian <input type="checkbox"/> Service Disabled Veteran <input type="checkbox"/> African American <input type="checkbox"/> Hispanic American <input type="checkbox"/> Women-Owned <input type="checkbox"/> Asian American <input type="checkbox"/> Pacific Islander American				
	AR Certification #: _____ * See <i>Minority and Women-Owned Business Policy</i>				
PROSPECTIVE CONTRACTOR CONTACT INFORMATION					
<i>Provide contact information to be used for bid solicitation related matters.</i>					
Contact Person:	Terri L. Eakins	Title:	President and CEO		
Phone:	(317) 610-6100 x 101	Alternate Phone:	(317) 201-6260		
Email:	teakins@techpg.com				
CONFIRMATION OF REDACTED COPY					
<input type="checkbox"/> YES, a redacted copy of submission documents is enclosed. <input checked="" type="checkbox"/> NO, a redacted copy of submission documents is <u>not</u> enclosed. I understand a full copy of non-redacted submission documents will be released if requested. <i>Note: If a redacted copy of the submission documents is not provided with Prospective Contractor's response packet, and neither box is checked, a copy of the non-redacted documents, with the exception of financial data (other than pricing), will be released in response to any request made under the Arkansas Freedom of Information Act (FOIA). See Bid Solicitation for additional information.</i>					
ILLEGAL IMMIGRANT CONFIRMATION					
By signing and submitting a response to this <i>Bid Solicitation</i> , a Prospective Contractor agrees and certifies that they do not employ or contract with illegal immigrants. If selected, the Prospective Contractor certifies that they will not employ or contract with illegal immigrants during the aggregate term of a contract.					
ISRAEL BOYCOTT RESTRICTION CONFIRMATION					
By checking the box below, a Prospective Contractor agrees and certifies that they do not boycott Israel, and if selected, will not boycott Israel during the aggregate term of the contract.					
<input checked="" type="checkbox"/> Prospective Contractor does not and will not boycott Israel.					

An official authorized to bind the Prospective Contractor to a resultant contract shall sign below.

The signature below signifies agreement that any exception that conflicts with a Requirement of this *Bid Solicitation* will cause the Prospective Contractor's proposal to be rejected.

Authorized Signature: Teri L. Eakins Title: President and CEO
Use Ink Only.

Printed/Typed Name: Terri L. Eakins **Date:** August 11, 2020

PROPOSED SUBCONTRACTORS FORM

- **Do not** include additional information relating to subcontractors on this form or as an attachment to this form.

PROSPECTIVE CONTRACTOR PROPOSES TO USE THE FOLLOWING SUBCONTRACTOR(S) TO PROVIDE SERVICES.

Type or Print the following information

Subcontractor's Company Name	Street Address	City, State, ZIP
None		

☒ **PROSPECTIVE CONTRACTOR DOES NOT PROPOSE TO USE
SUBCONTRACTORS TO PERFORM SERVICES.**

SIGNED ADDENDUM 1



STATE OF ARKANSAS
OFFICE OF STATE PROCUREMENT
1509 West 7th Street, Room 300
Little Rock, Arkansas 72201-4222

Page 1 of 1

ADDENDUM 1

TO: Contractors Addressed
FROM: Shane Phillips, Buyer
DATE: 06/29/2020
SUBJECT: SP-20-0097

The following change(s) to the above-referenced RFP have been made as designated below:

- ☒ Change of specification(s)
- ☐ Additional specification(s)
- ☐ Change of bid opening time and date
- ☐ Cancellation of bid
- ☐ Other

CHANGE OF SPECIFICATIONS

- Delete Section 1.1 and replace with the following: The Office of State Procurement (OSP) issues this Request for Proposal (RFP) on behalf of Arkansas Natural Resource Commission (ARNC) to obtain proposals and a contract for a commercial-off-the-shelf Financial Management Software. The successful Contractor will provide, manage, and support the proposed system as a Software as a Service solution in a robust cloud services environment. The proposed system must go-live no later than March 1st, 2021.
- Delete Section 2.24.C.6. and replace with the following: A plan by which the system will Go-Live no later than March 1, 2021.

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your bid response.

If you have any questions, please contact Shane Phillips at Jordan.Phillips@dta.arkansas.gov or (501) 324-9322.

Company: Technology Partnership Group, Inc.

Signature: Terri L. Ekins

Date: August 11, 2020

SIGNED ADDENDUM 2



STATE OF ARKANSAS
OFFICE OF STATE PROCUREMENT
1509 West 7th Street, Room 300
Little Rock, Arkansas 72201-4222

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ADDENDUM 2

TO: Contractors Addressed
FROM: Shane Phillips, Buyer
DATE: 07/05/2020
SUBJECT: SP-20-0097

The following change(s) to the above-referenced RFP have been made as designated below:

- ☒ Change of specification(s)
- ☐ Additional specification(s)
- ☐ Change of bid opening time and date
- ☐ Cancellation of bid
- ☐ Other

CHANGE OF SPECIFICATIONS

- Delete Section 1.9.A. and replace with the following:
 - A. Submit any questions requesting clarification of information contained in this *Bid Solicitation* in writing via email by 4:00 p.m., Central Time on or before 07/08/2020 to the OSP buyer as shown on page one (1) of this *Bid Solicitation*.
 1. For each question submitted, Prospective Contractor should reference the specific solicitation item number to which the question refers.
 2. Prospective Contractors' written questions will be consolidated and responded to by the State. The State's consolidated written response is anticipated to be posted to the OSP website by the close of business on 07/16/2020. If Prospective Contractor questions are unclear or non-substantive in nature, the State may request clarification of a question(s) or reserves the right not to respond to that question(s).

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your bid response.

If you have any questions, please contact Shane Phillips at Jordan.Phillips@dfa.arkansas.gov or (501) 324-9322.

Company: Technology Partnership Group, Inc.

Signature: Terris L. Perkins

Date: August 11, 2020

SIGNED ADDENDUM 3



STATE OF ARKANSAS
OFFICE OF STATE PROCUREMENT
1509 West 7th Street, Room 300
Little Rock, Arkansas 72201-4222

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ADDENDUM 3

TO: Vendors Addressed
FROM: Shane Phillips, Buyer
DATE: 07/21/2020
SUBJECT: SP-20-0097

The following change(s) to the above-referenced RFP have been made as designated below:

- ☒ Change of specification(s)
- ☐ Additional specification(s)
- ☒ Change of bid opening time and date
- ☐ Cancellation of bid
- ☐ Other

CHANGE OF SPECIFICATIONS

- Delete Section 1.1 and replace with the following:

The Office of State Procurement (OSP) Issues this Request for Proposal (RFP) on behalf of Arkansas Natural Resource Commission (ARNC) to obtain proposals and a contract for a proven Financial Management Software and Grant & Loan Servicing Software system. The successful Contractor will provide, manage, and support the proposed system as a Software as a Service solution in a robust cloud services environment. The proposed system must go-live no later than July 1st, 2021.

- Delete Section 2.1 and replace with the following:

The Office of State Procurement (OSP) Issues this Request for Proposal (RFP) on behalf of Arkansas Natural Resource Commission (ARNC) to obtain proposals and a contract for a proven Financial Management Software and Grant & Loan Servicing Software system. The successful Contractor will provide, manage, and support the proposed system as a Software as a Service solution in a robust cloud services environment.

The selected Contractor shall provide a fully functional, production solution capable of managing the programs that is hosted in a cloud service environment. ANRC desires a software package that automates and produces online data entry, retrieval, storage and generation as well as other data manipulation functions currently being housed and performed through offline Excel spreadsheets, Word documents, Access databases, and PDF files. The program consists of two (2) basic segments: Grant and Loan Management and Project Management. Identical data is entered in multiple phases of reporting. Automating these functions for onetime online data entry across all records will improve accuracy, efficiency, reporting, and communication regarding these projects and all of the different stakeholders involved.

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The proposed system must provide the capability to track, process, and maintain information about bonds, projects, loans and grant programs. The proposed system must provide full lifecycle tracking by recording the funding sources, tying the sources to the corresponding loans and projects, construction disbursements, and managing the interactions between the funding sources, the loans and projects. Actions such as project disbursements, debt payments, loan invoicing, and payment and delinquency processing should be included.

The required features and functions for the Financial Program Management and Loan & Grant Servicing Software Solutions are defined in this RFP.

The proposed system must go-live no later than July 1st, 2021.

- Delete Section 2.6 and replace with the following:

Licensing and Ownership of Product must be either:

- A. All software and work product shall be owned by the Contractor. The Contractor shall grant and provide to the State a perpetual and royalty free license to use the software. Contractor shall deliver the software to the State in object code form. The Contractor shall maintain the software source code with an escrow agent and list State as an authorized recipient of the source code in the event that (I) a receiver is appointed for the Contractor or for its property and assets; (II) any proceeding under any bankruptcy or insolvency laws are commenced by or against the Contractor; or (III) the Contractor breaches its maintenance and support agreement with the State. Or;
- B. All software must be provided in an open license model and the State shall own and have access to the full source code.

- Delete Section 2.10.G. and replace with the following:

G. The system must include a complex or strong password requirement that includes the following at a minimum:

- The ability for State Admin Users to set minimum password length requirements
- Maximum password length: no limit
- Have at least one (1) upper case.
- Have at least one (1) lower case.
- Have at least one (1) number.
- Have at least one (1) special character for passwords with minimum length of 8 characters.
- Prohibit use of special characters for passwords with a minimum length of 20 characters.
- Lock the user ID after five (5) sequential incorrect password attempts.
- Password reuse prohibited for 6 generations.
- Require the password to be changed every 120 days.
- Notify the user to change the password at 110 days and 115 days after password creation.
- Reset the user ID if the password is not changed at 120 days after creation

- Delete Section 2.10.I. and replace with the following:

The system must have the ability to establish "timeout" and terminate session" limits.

- Delete Section 2.11.A.3. and replace with the following:

The system should autosave information as it is entered and prompt users to save information before exiting a page/form.

- Delete Section 2.12.C.8 and replace with the following:

8. Date sensitive posting must be allowed by:

- a. Designated posting period.
- b. Effective transaction date.

- Delete Section 2.14.C.11.

- Delete Section 2.14.C.12. and replace with the following:

The system must be able to scan supporting documentation and checks into the system or upload/import the documents from DocStar and associate the images with the appropriate transaction.

- Delete Section 2.15.D.15. and replace with the following:

All required project/contract information must be synced automatically or uploaded by batch process into the Federal CBR, PBR, NIMS, and FFATA reporting websites.

- Delete Section 2.15.D.16. and replace with the following:

16. The system should maintain a record of correspondence for all project/contracts in the system. The system should:

- a. Automatically store all system generated email for a project/contract or allow users to manually log a record of and store copies of correspondence.
- b. Automatically store a log of all associated phone calls for a project/contract or allow users to manually enter a record of calls made on a project/contract.

- Delete Section 2.15.D.17. and replace with the following:

17. The system should integrate/interface with Microsoft Outlook to perform the following:

- a. Synchronize project/contract contacts with Outlook and allow user to select which loan (if project contact is associated with more than one loan) to apply the email to.
- b. Automatically capture inbound/outbound emails into a project/contracts Record of Correspondence or allow users to manually log a record of and store copies emails associated with a project/contract.

- Delete Section 2.15.F.6. and replace with the following:

The system must automatically sync or transmit by batch file all required loan information directly to the Federal CBR, PBR, NIMS, and FFATA reporting websites.

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- Delete Section 2.15.F.7 and replace with the following:
 7. The system should maintain a record of correspondence for loans in the system. The system should:
 - a. Automatically store all system generated email for a loan or allow users to manually log a record of and store copies of correspondence.
 - b. Automatically store a log of all associated phone calls for a loan or allow users to manually enter a record of calls made on a loan.
- Delete Section 2.15.F.8 and replace with the following:
 8. The system should integrate/interface with Microsoft Outlook to perform the following:
 - a. Synchronize loan contacts with Outlook and allow user to select which loan (if project contact is associated with more than one loan) to apply the email to.
 - b. Automatically capture inbound/outbound emails into a loans Record of Correspondence or allow users to manually log a record of and store copies emails associated with a project/contract.
- Delete Section 2.15.G.13 and replace with the following:
 13. The system should maintain a record of correspondence for all contacts in the system. The system should:
 - a. Automatically store all system generated email for a contact loan or allow users to manually log a record of and store copies of correspondence
 - b. Automatically store a log of all associated phone calls for a contact or allow users to manually enter a record of calls made with an associated contact.
- Delete Section 2.15.G. 14. And replace with the following:
 14. The system should integrate/interface with Microsoft Outlook to perform the following:
 - a. Synchronize contacts with Outlook
 - b. Export system contacts to Outlook
 - c. Automatically capture inbound/outbound emails into a contact's Record of Correspondence or allow users to manually log a record of and store copies emails associated with a project/contract.
- Delete Section 2.15.H.5 and replace with the following:

The system should allow version/draft control for all documents.
- Delete Section 2.15.H.6 and replace with the following:

The system should explicitly define document owners.

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- Delete Section 2.15.H.11
- Delete Section 2.16.B.7. and replace with the following:
The system must be able to track conditional payments.
- Delete Section 2.16.D. and replace with the following:
 - D. Financial Equity Management
 1. The system must be able to produce a Cash Flow Analysis Report:
 - a. By program
 - b. Matching of cash receipts to future obligations
 2. The system must be able to generate a borrowing capacity analysis report.
 3. The system must be able to generate an Analysis of Equity position report including loss reserves.
- Delete Section 2.21.A.
- Delete Section 2.23.B.2:
Have three (3) years of project management experience working with the Implementation of Financial Management and Loan & Grant Servicing Software. System of similar size and scope to this RFP
- Delete Section 2.24.C.6. and replace with the following:
A plan by which the system will Go-Live no later than July 1, 2021
- Delete Section 2.26.C. and replace with the following:
Contractor shall provide training that consists of "Train the Trainer" type sessions or direct knowledge transfer, so that these Users trained directly by the Contractor may go out and serve as Trainers for other Users in the future.
- Delete Section 2.26.D. and replace with the following:
The Contractor shall develop and provide curriculum and training materials for all user types that can then in turn be used by State Trainers to train each specific User type in future training sessions post Go Live.
- Delete Section 2.26.E. and replace with the following:
 - E. The Contractor shall provide electronic reference materials which ANRC shall be able to access for the life of the contract. Contractor shall provide materials such as, but not limited to, the following:
 1. User Manual
 2. Frequently Asked Questions (FAQ) list
 3. Web-based tutorials or instructional videos

4. Website URLs or location information for all other online and printed resources
- Delete Section 2.26.G. and replace with the following:
 - G. Online help for the system must be available for the life of the contract and should include, but is not limited to, the following:
 1. Context sensitive help information at module/field level
 2. Help library that can be searched using context sensitive queries
 3. Key topics can be searched
 4. User definable help messages may be added to the system
 5. Error code detail can be obtained
 6. System tutorials
 - Delete Section 2.29.G.
 - Delete Section 2.30.A.1. and replace with the following:

The Contractor shall include backup and recovery procedures which will allow recovery of the system and all data up to the moment of the disaster and successfully resume functioning within four (4) hours of any disaster. The State shall have the right to extend the four (4) hour window in the event of disruptions caused by nuclear disaster, extreme weather situations, civil unrest, terrorism, war, or other causes deemed by the State to be beyond such party's reasonable control.
 - Delete Section 2.30.A.3. and replace with the following:
 3. The system must frequently and automatically back up data. All backup servers and backup data associated with the Arkansas instance of the Contractor-hosted solution must reside in the continental United States. The Contractor shall include data back-up provisions adhering to the following requirements and principles in their proposed Disaster Recovery and Business Continuity Plan:
 - a. The system must backup and completely restore key system data files. Backup media should be common media readable by readily available hardware.
 - b. If access to backed-up information depends on Contractor-owned hardware that is scheduled for discontinuation or prolonged downtimes, or if for any other reason the Contractor believes that its hardware or software may inhibit the State's access to backed up information at any point in time, the Contractor shall immediately notify and present a remedy in writing to the State Project Manager that the Contractor and the State Project Manager must mutually agree upon.
 - c. The Contractor shall maintain a data backup schedule in accordance with the following requirements:
 - i. A weekly cycle providing a full backup of system information that reflects all project components, configurations, and data at the completion of that week's cycle.

- II. A daily backup reflecting that day's processed information.
 - III. The Contractor shall furnish to the Contract Administrator or their designee an electronic daily report delineating the completion of that day's backup, the status, and catalog of items backed up.
 - d. The System must maintain seven (7) years of yearly backups for all historical data sets post migration.
- Delete Section 3.1.C. and replace with the following:
 - A. The Information for Evaluation section has been divided into sub-sections.
 - 1. In each sub-section, items/questions have each been assigned a maximum point value of five (5) points. The total point value for each sub-section is reflected in the table below as the Maximum Raw Score Possible.
 - 2. The agency has assigned Weighted Percentages to each sub-section according to its significance.

Information for Evaluation Sub-Sections	Maximum Raw Points Possible	Sub-Section's Weighted Percentage	* Maximum Weighted Score Possible
E.1 PROSPECTIVE CONTRACTOR QUALIFICATIONS	10	1.50%	10.5
E.2 SYSTEM UPTIME & PERFORMANCE	15	3.00%	21
E.3 HOSTING	10	2.00%	14
E.4 SYSTEM ACCESS	10	5.00%	35
E.5 USER ROLES & ACCESS	15	2.00%	14
E.6 GENERAL TECHNICAL REQUIREMENTS	5	2.00%	14
E.7 GENERAL LEDGER REQUIREMENTS	5	2.00%	14
E.8 BUDGETING	5	2.00%	14
E.9 ACCOUNTS PAYABLE	5	2.00%	14
E.10 LOAN/GRANT TRACKING	5	10.00%	70
E.11 LOAN/GRANT PROCESSING	5	10.00%	70
E.12 DELIVERABLE TRACKING	5	10.00%	70
E.13 WORKFLOW PROCESSING	5	10.00%	70
E.14 REPORTING	15	5.00%	35
E.15 AUDIT FUNCTIONALITY	5	2.00%	14
E.16 REQUIRED INTERFACES	15	2.00%	14
E.17 DATA CONVERSION	5	5.00%	35
E.18 STAFFING & KEY PERSONNEL	5	1.00%	7
E.19 IMPLEMENTATION	5	5.00%	35
E.20 TESTING	5	1.50%	10.5
E.21 TRAINING	5	6.00%	42
E.22 MAINTENANCE & UPDATES	5	5.00%	35
E.23 USER & TECHNICAL SUPPORT	5	2.00%	14

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E.24 PRIVACY & SECURITY	5	1.00%	7
E.25 DISASTER RECOVERY & BUSINESS CONTINUITY	5	3.00%	21
E.26 LEGAL COMPLIANCE	5	1.00%	7
E.27 DATA OWNERSHIP & END OF CONTRACT TRANSITION	10	1.00%	7
Total Technical Score	175	100%	700

- Delete Section 4.4.B. and replace with following:

B. The Contractor's liability for damages to the State will be limited to the value of the Contract or \$1,000,000, whichever is higher. The foregoing limitation of liability will not apply to claims for infringement of United States patent, copyright, trademarks or trade secrets; to claims for personal injury or damage to property caused by the gross negligence or willful misconduct of the Contractor; to claims covered by other specific provisions of the Contract calling for damages; or to court costs or attorney's fees awarded by a court in addition to damages after litigation based on the Contract. The Contractor and the State will not be liable to each other, regardless of the form of action, for consequential, incidental, indirect, or special damages. This limitation of liability will not apply to claims for infringement of United States patent, copyright, trademark or trade secrets; to claims for personal injury or damage to property caused by the gross negligence or willful misconduct of the Contractor; to claims covered by other specific provisions of the Contract calling for damages; or to court costs or attorney's fees awarded by a court in addition to damages after litigation based on the Contract.

BID OPENING DATE AND TIME

- The bid opening date and time have changed to August 11th, 2020 at 2:00 p.m. CDT.

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your bid response.

If you have any questions, please contact Shane Phillips at Jordan.Phillips@dfa.arkansas.gov or (501) 324-9322.

Company: Technology Partnership Group, Inc.

Signature: Terri L. Perkins

Date: August 11, 2020

EO 98-04: CONTRACT AND GRANT DISCLOSURE FORM

CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM

Failure to complete all of the following information may result in a delay in obtaining a contract, lease, purchase agreement, or grant award with any Arkansas State Agency.

SUBCONTRACTOR: _____ SUBCONTRACTOR NAME: _____

☐ Yes ☒ No

TAXPAYER ID NAME: Technology Partnership Group, Inc. IS THIS FOR: ☐ Goods? ☐ Services? ☒ Both?

YOUR LAST NAME: Eakins FIRST NAME: Terri M.I. L. _____

ADDRESS: 8481 Bash Street, Suite 1300

CITY: Indianapolis STATE: Indiana ZIP CODE: 46250 COUNTRY: USA

AS A CONDITION OF OBTAINING, EXTENDING, AMENDING, OR RENEWING A CONTRACT, LEASE, PURCHASE AGREEMENT, OR GRANT AWARD WITH ANY ARKANSAS STATE AGENCY, THE FOLLOWING INFORMATION MUST BE DISCLOSED:

FOR INDIVIDUALS *

Indicate below if: you, your spouse or the brother, sister, parent, or child of you or your spouse is a current or former: member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee:

Position Held	Mark (✓)		Name of Position of Job Held (senator, representative, name of board/ commission, data entry, etc.)	For How Long?		What is the person(s) name and how are they related to you? (i.e., Jane Q. Public, spouse, John Q. Public, Jr., child, etc.)	
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Relation
General Assembly	<input type="checkbox"/>	<input type="checkbox"/>					
Constitutional Officer	<input type="checkbox"/>	<input type="checkbox"/>					
State Board or Commission Member	<input type="checkbox"/>	<input type="checkbox"/>					
State Employee	<input type="checkbox"/>	<input type="checkbox"/>					

☒ None of the above applies

FOR AN ENTITY (BUSINESS) *

Indicate below if any of the following persons, current or former, hold any position of control or hold any ownership interest of 10% or greater in the entity: member of the General Assembly, Constitutional Officer, State Board or Commission Member, State Employee, or the spouse, brother, sister, parent, or child of a member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee. Position of control means the power to direct the purchasing policies or influence the management of the entity.

Position Held	Mark (✓)		Name of Position of Job Held (senator, representative, name of board/ commission, data entry, etc.)	For How Long?		What is the person(s) name and what is his/her % of ownership interest and/or what is his/her position of control?		
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Ownership Interest (%)	Position of Control
General Assembly	<input type="checkbox"/>	<input type="checkbox"/>						
Constitutional Officer	<input type="checkbox"/>	<input type="checkbox"/>						
State Board or Commission Member	<input type="checkbox"/>	<input type="checkbox"/>						
State Employee	<input type="checkbox"/>	<input type="checkbox"/>						

☒ None of the above applies

Contract and Grant Disclosure and Certification Form

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.

As an additional condition of obtaining, extending, amending, or renewing a contract with a state agency I agree as follows:

1. Prior to entering into any agreement with any subcontractor, prior or subsequent to the contract date, I will require the subcontractor to complete a CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM. Subcontractor shall mean any person or entity with whom I enter an agreement whereby I assign or otherwise delegate to the person or entity, for consideration, all, or any part, of the performance required of me under the terms of my contract with the state agency.
2. I will include the following language as a part of any agreement with a subcontractor:

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this subcontract. The party who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the contractor.
3. No later than ten (10) days after entering into any agreement with a subcontractor, whether prior or subsequent to the contract date, I will mail a copy of the CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM completed by the subcontractor and a statement containing the dollar amount of the subcontract to the state agency.

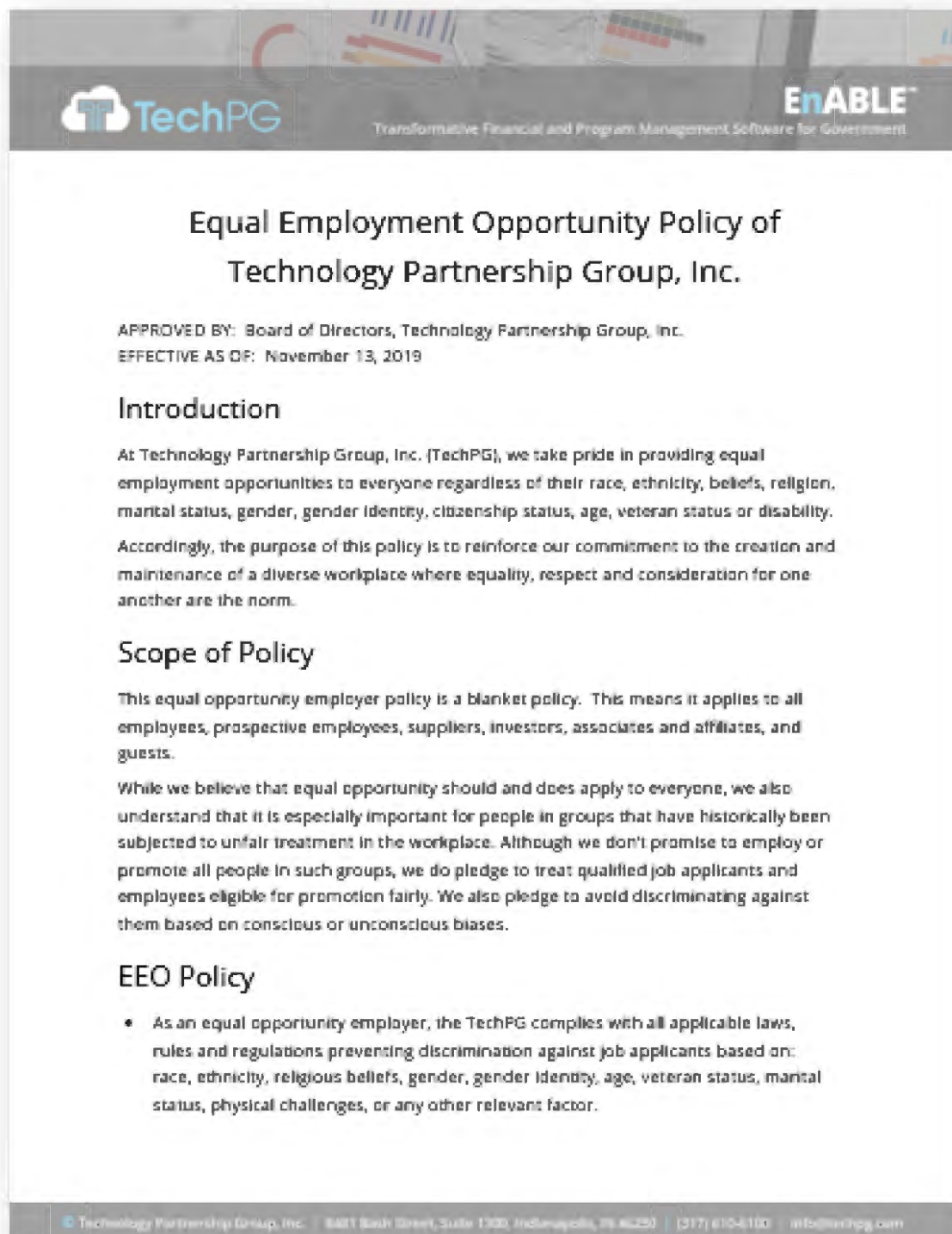
I certify under penalty of perjury, to the best of my knowledge and belief, all of the above information is true and correct and that I agree to the subcontractor disclosure conditions stated herein.

Signature Terri L. Eakins Title President and CEO Date August 11, 2020
Vendor Contact Person Terri L. Eakins Title President and CEO Phone No. (317) 610-6100 x 101

Agency use only

Agency Number _____ Agency Name _____ Agency Contact Person _____ Contact Phone No. _____ Contract or Grant No. _____

TECHPG'S EQUAL EMPLOYMENT OPPORTUNITY POLICY





- In addition to recruitment and hiring practices, this policy requires affirmative action in the following areas: promotions, transfers, pay rates and termination.
- Our executives, upper and middle management, and supervisors are responsible for ensuring that this policy is fully implemented and that everyone, including the rank and file, complies.
- Allegations that anyone subject to this policy has engaged in prohibited conduct will be thoroughly investigated.
- If the accused is a TechPG employee, he or she may be suspended pending the outcome of the investigation.
- If the investigation determines that a TechPG employee has engaged in discriminatory practices or behavior, said employee will be disciplined accordingly.
- A supervisor, department head, or anyone else in a senior capacity that is aware of a TechPG employee engaging in prohibited conduct and fails to take immediate and appropriate corrective action will also be disciplined accordingly.
- Any victim of discrimination should not hesitate to come forward.
- Any individual who feels that coming forward would be or has been futile, unsatisfactory or counterproductive should contact the Human Resources Department.
- Any type of retaliatory behavior, or threats of retaliation made against a victim of discrimination who has reported it, or against someone who was aware of the discrimination and reported, will result in immediate disciplinary action.

At TechPG, we have zero tolerance for any type of discrimination or harassment against our employees by their peers, supervisors, customers, or vendors. This assurance is also reflected in our policies regarding: recruiting, advertising, hiring, placement, promotion, training, transfer, payment, benefits, termination and any relevant privileges, terms and conditions of employment.

Anyone with questions or concerns about the implementation of or compliance with this or any related policies should address them to the Human Resources Department.

VOLUNTARY PRODUCT ACCESSIBILITY TEMPLATE (VPAT)

EnABLE™ Accessibility Conformance Report WCAG Edition

(Based on VPAT® Version 2.4)

Name of Product/Version: EnABLE™

Report Date: 08/05/2020

Product Description:

EnABLE™ is a flexible, robust, highly-configurable web-enabled application that provides an excellent foundation for our client's loan portfolio management needs. It was designed specifically for governmental and quasi-governmental entities that pool resources from bonds, grants or other appropriations and, in turn, issue loans or grants against these resources to other entities to achieve program objectives.

Contact Information:

Phone: 317-610-6100

Email: TEakins@TechPG.com

Notes:

This report is prepared as a result of the request for proposal by the state of Arkansas with respect to evaluating EnABLE™ for use by their government personnel.

Evaluation Methods Used:

EnABLE™ was evaluated using Microsoft Edge on a Windows 10 desktop computer. EnABLE™ uses 5 different screen types. An example of each were evaluated using SiteSorter - omicX (<https://omictools.com/sitesorter-tools>). In addition, the application was evaluated manually based on the criteria. The results of that evaluation are contained below.

Remarks and Explanations: This section may include:

- Information regarding the testing of a given criteria.
- Information on application dependencies to support accessibility (e.g. OS, app frameworks, browsers recommended).
- How the customer can find more information about accessibility issues. One method can be to include the bug ID where customers can call the company's customer support to get additional information.
- Known workarounds for accessibility issues.

Applicable Standards/Guidelines

This report covers the degree of conformance for the following accessibility standard/guidelines:

Standard/Guideline	Included In Report
Web Content Accessibility Guidelines 2.0	Level A (No) Level AA (No) Level AAA (No)
Web Content Accessibility Guidelines 2.1 Level	Level A (Yes) Level AA (Yes) Level AAA (No)

Terms

The terms used in the Conformance Level information are defined as follows:

- **Supports:** The functionality of the product has at least one method that meets the criterion without known defects or meets with equivalent facilitation.
- **Partially Supports:** Some functionality of the product does not meet the criterion.
- **Does Not Support:** The majority of product functionality does not meet the criterion.
- **Not Applicable:** The criterion is not relevant to the product.
- **Not Evaluated:** The product has not been evaluated against the criterion. This can be used only in WCAG 2.0 Level AAA

WCAG 2.1 Report

Note: When reporting on conformance with the WCAG 2.1 Success Criteria, the criteria are scoped for full pages, complete processes, and accessibility-supported ways of using technology as documented in the WCAG 2.1 Conformance Requirements.

Table 1: Success Criteria, Level A

Notes:

The results below are from evaluating 100 pages and images of EnABLE™. Of the 100 pages there were found to be 2% with issues, and is considered to be better than average. Also, knowledge of the system was used against each criterion to determine Conformance Level.

Criteria	Conformance Level	Remarks and Explanations
1.1.1 Non-text Content (Level A)	Partial Supports	Failure due to omitting the alt attribute or text alternative on img elements, area elements, and input elements of type "image"
1.2.1 Audio-only and Video-only (Prerecorded) (Level A)	Not Applicable	n/a

Criteria	Conformance Level	Remarks and Explanations
1.2.2 Captions (Prerecorded) (Level A)	Not Applicable	n/a
1.2.3 Audio Description or Media Alternative (Prerecorded) (Level A)	Not Applicable	n/a
1.3.1 Info and Relationships (Level A)	Partial Supports	Failure due to using changes in text presentation to convey information without using the appropriate markup or text Failure of for not correctly marking up table headers
1.3.2 Meaningful Sequence (Level A)	Partial Supports	Failure due to using an HTML layout table that does not make sense when linearized
1.3.3 Sensory Characteristics (Level A)	Supports	n/a
1.4.1 Use of Color (Level A)	Partial Supports	Failure due to creating links that are not visually evident without color vision
1.4.2 Audio Control (Level A)	Not Applicable	n/a
2.1.1 Keyboard (Level A)	Partial Supports	Failure due to using only pointing-device-specific event handlers (including gesture) for a function
2.1.2 No Keyboard Trap (Level A)	Supports	n/a
2.1.4 Character Key Shortcuts (Level A 2.1 only)	Supports	n/a
2.2.1 Timing Adjustable (Level A)	Not Applicable	n/a
2.2.2 Pause, Stop, Hide (Level A)	Not Applicable	n/a
2.3.1 Three Flashes or Below Threshold (Level A)	Supports	n/a
2.4.1 Bypass Blocks (Level A)	Supports	n/a
2.4.2 Page Titled (Level A)	Partial Supports	Failure due to the title of a Web page not identifying the contents
2.4.3 Focus Order (Level A)	Supports	
2.4.4 Link Purpose (In Context) (Level A)	Partial Supports	Failure due to not providing an accessible name for an image which is the only content in a link
2.5.1 Pointer Gestures (Level A 2.1 only)	Supports	n/a
2.5.2 Pointer Cancellation (Level A 2.1 only)	Supports	n/a
2.5.3 Label in Name (Level A 2.1 only)	Supports	n/a
2.5.4 Motion Actuation (Level A 2.1 only)	Not Applicable	n/a

Criteria	Conformance Level	Remarks and Explanations
3.1.1 Language of Page (Level A)	Supports	n/a
3.2.1 On Focus (Level A)	Not Applicable	n/a
3.2.2 On Input (Level A)	Supports	n/a
3.3.1 Error Identification (Level A)	Supports	n/a
3.3.2 Labels or Instructions (Level A)	Supports	n/a
4.1.1 Parsing (Level A)	Supports	n/a
4.1.2 Name, Role, Value (Level A)	Partial Supports	Failure due to a user interface control not having a programmatically determined name

Table 2: Success Criteria, Level AA

Notes:

The results below are from evaluating 100 pages and images of EnABLE™. Of the 100 pages there were found to be 2% with issues, and is considered to be better than average. Also, knowledge of the system was used against each criterion to determine Conformance Level.

Criteria	Conformance Level	Remarks and Explanations
1.2.4 Captions (Live) (Level AA)	Not Applicable	n/a
1.2.5 Audio Description (Prerecorded) (Level AA)	Not Applicable	n/a
1.3.4 Orientation (Level AA 2.1 only)	Supports	n/a
1.3.5 Identify Input Purpose (Level AA 2.1 only)	Does Not Support	n/a
1.4.3 Contrast (Minimum) (Level AA)	Supports	n/a
1.4.4 Resize text (Level AA)	Supports	n/a
1.4.5 Images of Text (Level AA)	Supports	n/a
1.4.10 Reflow (Level AA 2.1 only)	Does Not Support	n/a
1.4.11 Non-text Contrast (Level AA 2.1 only)	Supports	n/a
1.4.12 Text Spacing (Level AA 2.1 only)	Does Not Support	n/a
1.4.13 Content on Hover or Focus (Level AA 2.1 only)	Supports	n/a
2.4.5 Multiple Ways (Level AA)	Not Applicable	n/a
2.4.6 Headings and Labels (Level AA)	Supports	n/a
2.4.7 Focus Visible (Level AA)	Partial Supports	Failure due to styling element outlines and borders in a way that

Criteria	Conformance Level	Remarks and Explanations
		removes or renders non-visible the visual focus indicator
3.1.2 Language of Parts (Level AA)	Does Not Support	n/a
3.2.3 Consistent Navigation (Level AA)	Supports	n/a
3.2.4 Consistent Identification (Level AA)	Supports	n/a
3.3.3 Error Suggestion (Level AA)	Supports	n/a
3.3.4 Error Prevention (Legal, Financial, Data) (Level AA)	Supports	n/a
4.1.3 Status Messages (Level AA 2.1 only)	Supports	n/a

Table 3: Success Criteria, Level AAA

Notes:

EnABLE™ was not evaluated for level AAA, therefore there are no results to report.

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INFORMATION FOR EVALUATION

E.1 PROSPECTIVE CONTRACTOR QUALIFICATIONS

1. Describe your experience providing Financial Management and Loan & Grant Servicing Software and how your company meets the minimum requirements set forth in Section 2.5 of the RFP. Include description of the Contractor's experience as a whole, as well as the experience of any proposed key staff members who will be assigned to the contract.
2. Provide names, contact information, and contract details for at least three (3) government entities in the United States for whom you have successfully provided services of a similar size and scope as those described in this RFP, at least one of which must be currently using the proposed system and implemented in the last five (5) years.

Prospective Contractor Qualifications

Technology Partnership Group (TechPG) is pleased to present EnABLE™, TechPG's comprehensive, web-based revolving fund program and financial management software, to the Arkansas Natural Resources Commission (ANRC) for the Water Development Division's new Financial Management and Loan and Grant Servicing software.



As you will learn through this proposal, TechPG is experienced, capable and highly interested in providing the software, configuration, implementation, data conversion, training, hosting, and maintenance and support services being sought by ANRC. Our offering is built around EnABLE™, TechPG's flexible, proven, commercial off-the-shelf (COTS) software for full program, project, and loan, grant and bond management, servicing and financial reporting. It is robust, highly-configurable, web-enabled, and easy to use—all of which are requirements of ANRC.

The TechPG team has 27 years of extensive experience providing successful IT services and mission critical financial management systems for state governmental agencies across the country. From these engagements, we understand how state agencies operate and appreciate the unique needs and requirements that each one possesses. For this engagement, we will use our EnABLE solution that has been designed, developed, and implemented specifically for agencies that support complex revolving fund programs—like the drinking water and clean water programs managed by ANRC. The system provides the ability to define and process application data, manage all aspects of loan or grant awards, track and monitor construction and engineering activities, perform disbursement and

repayment processing, manage compliance, and provide an extreme level of data transparency, automation, and reporting flexibility.

EnABLE provides an excellent foundation for the State's program needs. It was designed specifically for governmental and quasi-governmental entities that pool resources from grants, appropriations, bonds, loans, or other funding sources and, in turn, issue loans or grants against these resources to other entities to achieve program objectives. TechPG has found that common business challenges exist through these entities as it relates to managing the relationship between data and collaborating with loan recipients and other stakeholder organizations. EnABLE was designed to solve these challenges.

Thanks to EnABLE's proven functionality and architecture and the EnABLE team's successful implementation methodology and project management experience, EnABLE offers the best fit in terms of:

- Flexibility and configurability to meet changing program and legislative requirements
- Ability to integrate or interface with existing and future enterprise systems
- Adherence to project objectives and schedule
- Reasonable costs that deliver value
- Support to strengthen and sustain future initiatives, programs and partnerships

With EnABLE, Arkansas is getting more than the conversion of an existing system to a web-based platform: ANRC will obtain a proven, SRF-specific COTS solution that was designed to provide an unprecedented amount of user configurability to support the State's unique needs, while still maintaining the ability to be updated through periodic software releases.

The following is a list of the features and modules of EnABLE that will be used to successfully implement ANRC's web-based solution.

Integrated SQL Database – Funding sources, loans, grants, bonds, borrowers, projects and application information are integrated within a single SQL relational database that eliminates risks to data and allows organizations to perform integrated reporting across all sources, uses, and programs.

Security – EnABLE provides a robust security framework that wraps around the integrated database to control which users can see and use what functions. This

facilitates web-based integration providing important access to operational information by any stakeholder that has an internet browser and a user ID and password.

Workflow – A robust workflow module is delivered with the platform that enables the development of electronic and paperless workflows and process tracking. Email and task notifications are available at any point in the process and detailed management and tracking reporting is supported.

Financial Processing – Provides a comprehensive set of processes and tools to manage all aspects of loan servicing, debt transactions, disbursements, funds balancing, transfers and reporting related to financial activities.

Borrower Data – Borrower (client) data is stored in a single location and includes address, contact, bank account and general demographic data.

Customer Relationship Management – The ability to manage all contacts, events, appointments and activities for a borrower, project or individual loan or grant is provided via a common module that records all methods of contacting an individual including multiple addresses, phone numbers, and other contact methods.

Compliance Tacking – All compliance items (one time or periodic) can be identified and automatically tracked to ensure that all terms are met – email and task notifications can be configured to be automatically generated by the system as part of the process.

Task Notification – Task notifications to internal and external users (if desired) are provided to identify actions that need to occur or data that needs to be reviewed.

Tracking – Provides the ability to define and manage tracking plans with individual steps and assignments at each step including email and task notifications of steps requiring actions.

Dynamic Forms – Online applications and other “data gathering” forms can be defined and published for use by borrower applicants. Data elements are fully-integrated with the system and attachments, workflow processing, automated (configurable) scoring, tracking, and notifications can be defined and implemented by authorized users.

Additional Attributes – Allows users to define additional fields for tracking and reporting.

Attachments – Any type of electronic document can be attached at various locations in the system.

User Portal – A fully-integrated user portal is provided for borrower or other key user constituencies.

Standard and Ad Hoc Reporting – Permits extreme visibility into program data through pre-defined reports or user-defined, on-demand reports.

Document Generation and E-mail – The ability to generate documents and automatically e-mail them is integrated with the platform and allows users to e-mail correspondence or topical information from given processes or automatically when defined by a process or business rule.

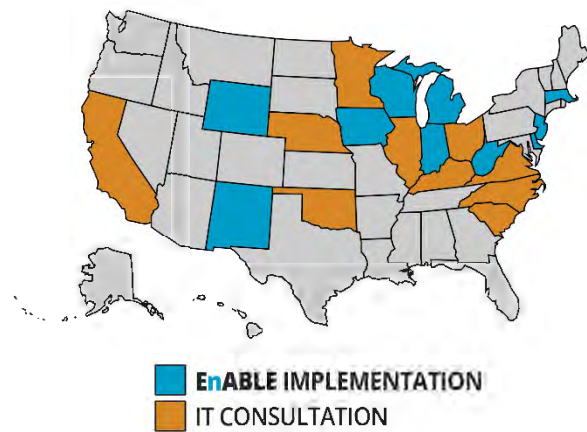
The following sections of this proposal provide details about TechPG's qualifications and the EnABLE software, respond to specific functional and technical requirements of the State, present our approach to implementing EnABLE, present the EnABLE team's qualifications, and provide pricing information.

E.1.1.

TechPG Qualification Information

TechPG is an information technology consulting company that specializes in developing and implementing information management systems and applications for state governments and world-class systems integrators. Combining great people, advanced technologies and solid industry knowledge in a team-focused manner, TechPG helps customers and partners achieve operational efficiencies and create top-tier IT solutions. The company's flagship product, EnABLE™, is a robust, proven program and financial management software solution that helps governmental agencies manage and service their federal, state and bond funded loan and grant programs and state revolving funds.

Headquartered in Indianapolis, Indiana and certified as a Women's Business Enterprise (WBE), TechPG has extensive knowledge of the policies and operations of a variety of highly-regulated public sector programs; comprehensive experience in the transfer, design, development, testing, training and implementation of large mission-critical automated systems; and a thorough understanding of a variety of federal and state system requirements.



Since its founding in 1992, the company has worked with the states of California, Delaware, Illinois, Indiana, Iowa, Kentucky, Massachusetts, Michigan, Minnesota, Nebraska, New Jersey, New Mexico North Carolina, Ohio, Oklahoma, Rhode Island, South Carolina, Virginia, West Virginia, Wisconsin and Wyoming as a prime contractor or subcontractor.

Services and Specialty Areas

TechPG's information technology and management consulting services include:

Project Management	Application Development	Implementation
Project Planning, Management and Oversight	Requirements Gathering, Analysis and Validation	Data Conversion
Quality Assurance	Application Design and Development	Testing
Independent Verification and Validation (IV&V)	System Architecture	Training
Business Process Analysis and Reengineering (BPA/BPR)	Database Design	Technical Writing
Compliance Monitoring	Web Development	Help Desk Management and Operations
Policies and Procedures Development	Interface and EDI Development	
	SME and Business Analyst Services	
	System Upgrades and Maintenance	

TechPG's specialty areas include:

Applications	Technologies
Loan and Bond Management Systems	GeneXus™
Grant Management Systems	SharePoint® Services
Health and Human Services Systems	.Net Development

TechPG's services are not limited to specific types of technologies, databases, operating systems or development languages due to the company's experience with a wide variety of technical environments and solutions and the strong backgrounds of our staff and resources.

TechPG is a Microsoft® Certified Partner and uses *GeneXus™*, the multi-platform software design and development tool created by Artech® for EnABLE and custom software development projects.

TechPG Experience – Summary of Select Current and Recent Projects

Client or Project Name	Project Description
Rhode Island Infrastructure Bank, EnABLE Implementation Project October 2016 to Present	For each project, TechPG serves as the prime vendor to implement the company's commercial off-the-shelf (COTS) loan, grant and bond management software, EnABLE, to replace existing financial management systems, Excel spreadsheets, and manual processes. EnABLE is a .Net/SQL web-based system which supports the tracking and management of all grants, appropriations, bonds and other funding sources used by the agencies and all corresponding loans and grants made from these funding sources. The system includes integrated applications and configurable scoring, comprehensive borrower, project and budget tracking, configurable workflow processing, contact management, loan servicing, grant tracking, disbursement processing, loan servicing, compliance monitoring, client portal access, and integrated dynamic forms, reporting and document generation functionality.
New Mexico Finance Authority, EnABLE Implementation Project October 2015 to Present	
Wyoming Office of State Lands and Investments, EnABLE Implementation Project November 2014 to Present	
Wisconsin Economic Development Corporation,	

Client or Project Name	Project Description
EnABLE Implementation Project November 2013 to Present	<p>Several agencies perform investment, cash management, accounting, and bond (registrar, transfer, paying and escrow agent) services for their programs for various bond issues and public finance programs. The agencies provide financial and administrative support services for their state revolving funds and pooled loan programs.</p> <p>EnABLE calculates and tracks all debt payments due for the agencies' bonds and loans and provides extensive reporting and notification services. Loan tracking and processing utilizes integrated email capabilities which generates detailed documents and Excel spreadsheets and automatically emails the required forms to borrowers for periodic processing. Partner agencies and borrowers have access to extensive program and financial data through the application's web portal.</p> <p>EnABLE integrates with existing third-party systems including single sign-on applications, general ledger software and performs ad-hoc reporting and financial approval workflows.</p> <p>EnABLE project activities include project management, requirements analysis and validation, application configuration and customization, interface implementation, integration with third party applications, system testing, database architecture, technical writing, quality assurance, training, conversion, acceptance testing support, implementation support, and ongoing maintenance, enhancements and support.</p> <p>Some implementations are hosted by TechPG and others are implemented within a state's or agency's managed IT environment.</p>
Delaware Department of Natural Resources and Environmental Control, EnABLE Implementation Project September 2013 to Present	
West Virginia Municipal Bond Commission, EnABLE Implementation Project September 2013 to Present	
MassDevelopment, EnABLE Implementation Project August 2013 to Present	
Iowa Finance Authority, EnABLE Implementation Project September 2012 to Present	
State of West Virginia Water Development Authority, EnABLE Loan and Bond Financial Management System Implementation March 2010 to Present	

Client or Project Name	Project Description
<p>New Jersey Economic Development Authority, EnABLE Project</p> <p>January 2015 to Present</p>	<p>Working with one of the largest public accounting and consulting firms in the United States, TechPG is implementing EnABLE for NJEDA's loan portfolio management and debt servicing as part of an enterprise solution that integrates Microsoft Dynamics CRM for customer relationship management, Microsoft Dynamics GP for accounting, Microsoft SharePoint for document storage, and Microsoft SQL Reporting Services and Tableau for reporting and business intelligence.</p> <p>The project includes business process analysis and reengineering, requirements analysis and validation, project management, EnABLE configuration and customization, interface development, integration with third party applications, legacy data conversion, quality assurance, system testing, acceptance testing support, training, technical writing, implementation services, and ongoing maintenance, enhancements and support.</p>
<p>State of Michigan, Loan and Bond Management System</p> <p>September 2007 to Present</p>	<p>TechPG served as the prime vendor to design and develop a Loan and Bond Management System (LBMS) for the State of Michigan Department of Treasury Commission of Bond Finance to replace existing applications which no longer met the agency's needs for functionality or performance. LBMS is a .Net/SQL web-based system that supports the tracking and management of all bonds issued by the state and the resulting loans that are made based upon these bonds.</p> <p>Project activities included project management, requirements analysis and verification, application design using interactive system prototyping, application development, system testing, database architecture, technical writing, quality assurance, training, conversion, acceptance testing support, and implementation support.</p> <p>LBMS calculates and tracks all debt payments due for the bonds and has extensive reporting and notification services. Bond data entry utilizes a wizard-based interface where data is collected in groups prior to</p>

Client or Project Name	Project Description
	<p>performing bond debt calculations. Loan tracking and processing utilizes integrated email capabilities which generates detailed documents and Excel spreadsheets and automatically emails the required forms to borrowers for periodic processing. LBMS integrates with existing legacy systems for data transfers and supports ad-hoc reporting and financial approval workflows.</p> <p>TechPG continues to provide system maintenance, enhancements and support services to the agency.</p>
<p>Indiana Economic Development Corporation and Indiana Finance Authority</p> <p>April 2007 to Present</p>	<p>TechPG served as the prime vendor to design and develop three systems for the IEDC and IFA to replace existing applications which no longer met the agencies' needs for functionality or performance: the first replaced an Access-based system used by IEDC to track all loans issued under the Capital Access Program (CAP); the second replaced an Excel-based spreadsheet system used by the IFA to track loans or grants for the State Environmental program for wastewater, drinking water, and Brownfield sites; the third replaced an Access-based system used by IFA to track loans or grants for the Bonds Program and Volume Capital Access Program.</p> <p>Tasks included project management, quality assurance, and requirements identification and analysis through interviews with managers and users, evaluation of functionality and the technical environment of the current applications, and reviews of existing documentation to identify and document all program and system requirements. Following requirements verification with the client, design sessions were conducted that included interactive system prototyping and creation of a formal design document. This was followed by application coding, system testing, data conversion, training, acceptance testing support, and implementation support.</p> <p>TechPG continues to provide system maintenance, enhancements and support services to the agency.</p>

References

E.1.2.

The following state government clients utilize EnABLE for their SRF programs and have agreed to serve as references for TechPG's software, implementation services and performance.

Reference 1	Detail
Company Name:	Rhode Island Infrastructure Bank
Address:	235 Promenade Street, Suite 119 Providence, Rhode Island 02908
Contact Name/Position:	Mr. David Birkins, Chief Operating Officer
Contact Email Address:	dbirkins@riib.org
Contact Phone Number:	(401) 919-5804
Type of Business:	Government
Description of system(s) implemented:	EnABLE install to manage loan, grant and bond programs for CW SRF, DW SRF, Community Septic Systems, C-PACE, Efficient Buildings Fund, Brownfield Remediation, Facility Plan Loan Program, Municipal Resilience Program, Municipal Road & Bridge Revolving Fund, Sewer Tie-In Loan Fund, and Stormwater Project Accelerator. System is in production for all programs. Services included project management, business process analysis, requirements validation, solution design and configuration, data conversion, testing, training, deployment support and hosting.
Date of Implementation:	October 2016 to June 2018, plus ongoing support and enhancements
Reference 2	Detail
Company Name:	New Mexico Finance Authority
Address:	207 Shelby Street Santa Fe, New Mexico 87501
Contact Name/Position:	Mr. Floyd J. Trujillo, Director of IT
Contact Email Address:	ftrujillo@nmfa.net

Contact Phone Number:	(505) 992-9626 (direct) (505) 984-1454 (main)
Type of Business:	Government
Description of system(s) implemented:	EnABLE install to manage: drinking water state revolving fund and other water programs; Public Project Revolving Fund including bond issuance; economic development programs; department of transportation debt programs; and other loan, grant and bond programs and revolving funds, including integrated application processing with configurable scoring. System is in production for DWSRF and other water programs, PPRF, and Local Government Planning Fund (LGPF), with additional programs being brought online. Services included project management, business process analysis, requirements validation, solution design and configuration, data conversion, testing, training, deployment support and hosting.
Date of Implementation:	October 2015 to Present
Reference 3	Detail
Company Name:	State of Wyoming, Office of State Lands and Investments
Address:	122 West 25th Street, Herschler Building, 3W Cheyenne, Wyoming 82002
Contact Name/Position:	Beth Blackwell, Grants and Loans Manager
Contact Email Address:	elizabeth.blackwell@wyo.gov
Contact Phone Number:	(307) 777-6373
Type of Business:	Government
Description of system(s) implemented:	EnABLE install to manage: clean water and drinking water state revolving fund programs; mineral rights, agriculture, energy and transportation grant and loan programs; and other programs. Services included project management, business process analysis, requirements validation, solution design and configuration, data conversion, testing, training, deployment support and hosting. System is in production for all programs.
Date of Implementation:	November 2014 to 2016, plus ongoing support and enhancements

E.2 SYSTEM UPTIME & PERFORMANCE

1. Describe the proposed system's ability to meet the system uptime and response times laid out in Section 2.7 of the RFP. Include a description of how the System will meet these requirements without negatively impacting other ANRC systems.
2. Describe how scheduled downtime for maintenance will be handled outside of ANRC's normal business hours.
3. Describe how System Usage and Performance Reporting will be handled, and how the report will be delivered to ANRC by the required deadline. Include a sample report.

System Uptime and Performance

TechPG has reviewed each requirement contained in Section 2.7 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

E.2.1.

EnABLE has been hosted at a world-class data center for the past ten years with no user down time. The hosting environment is on virtual machines that allow for instantaneous resource increases or reallocations. Please see our response to E.3, Hosting, below, for details on the environment. Other than a couple of data and logic intensive processing screens like invoicing or statement generation, the online screens render in less than the required two seconds.

Since EnABLE will be hosted outside of the ANRC technical environment, there will be no impact on other ANRC systems. The only requirement on the ANRC side is to provide general bandwidth for users to access the EnABLE screens. EnABLE has minimal bandwidth requirements and no installation of EnABLE has required any upgraded or dedicated bandwidth needs.

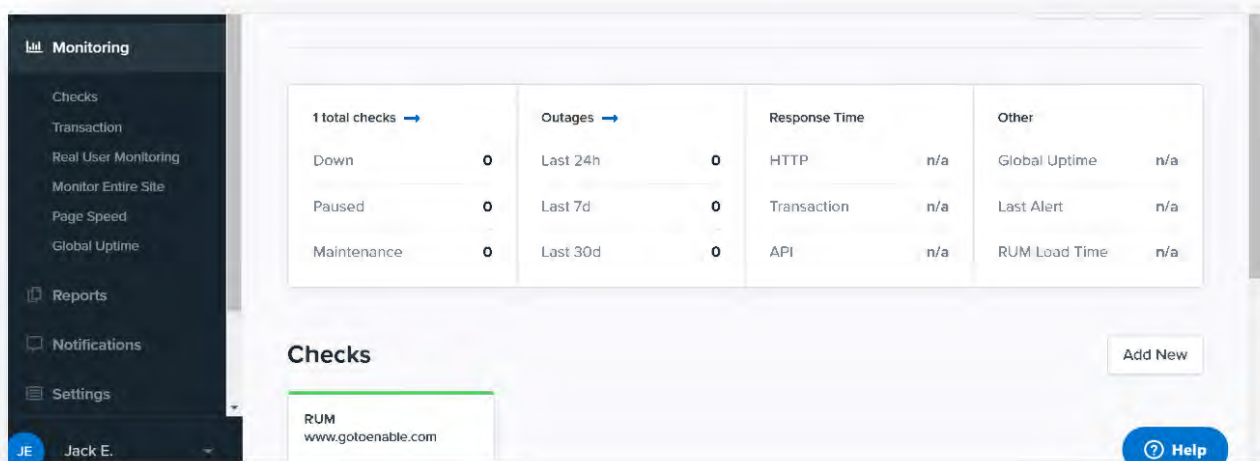
E.2.2.

The system is available 24x7 most weeks with no weekly maintenance required. When maintenance is required, a notice is sent to the client's system contact to notify him or her of the outage. Scheduled maintenance is normally only needed when new releases are being applied and occurs after normal business hours or on weekends. EnABLE is placed into "maintenance mode" during the outage, which locks most users out of the system until the maintenance is completed. Upon completion, the client system contact is notified that the system is available.

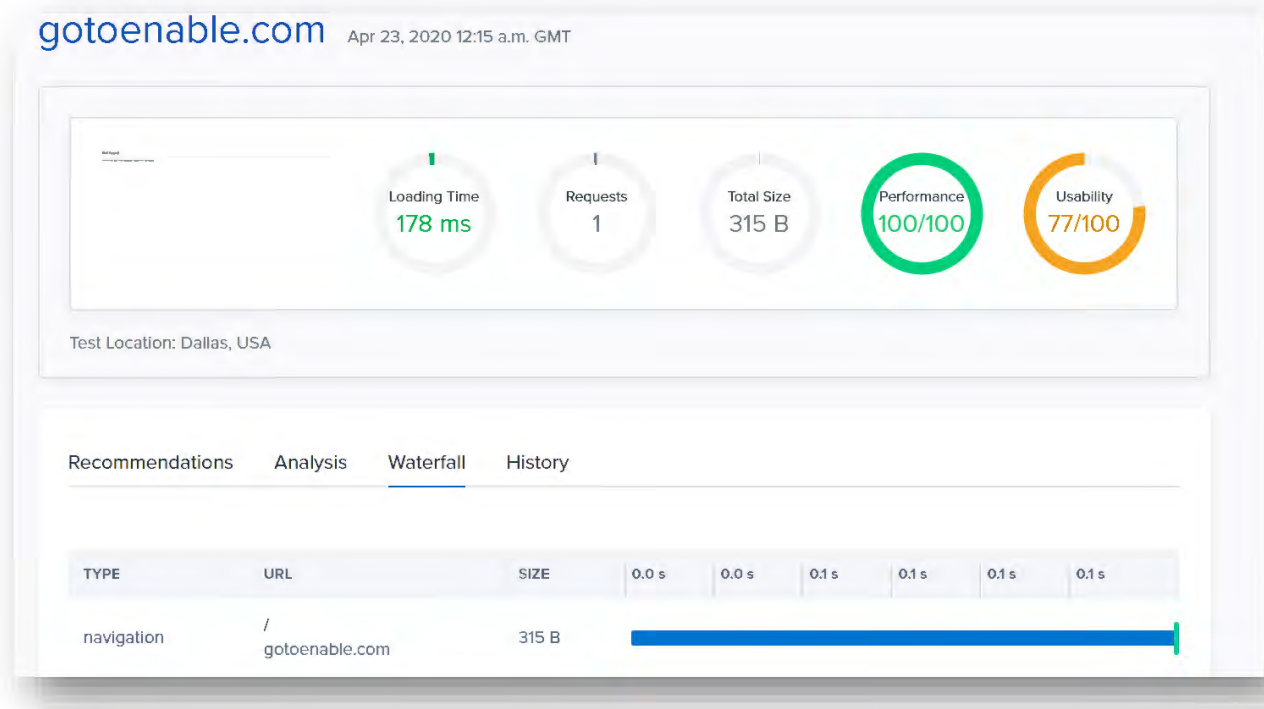
There are no limits to the number of concurrent users. One EnABLE installation routinely has over 100 concurrent users at a time with no system degradation.

E.2.3

As part of normal monthly operations, TechPG's DevOps team will generate a series of dashboards and reports that identify any downtime, usage and response times. These reports will be generated and provided on the first business day following the end of a month.



EnABLE is monitored by the uptime.com service and a sample monitoring dashboard is shown below. This service allows for constant general and as-needed specific monitoring.



E.3 HOSTING

1. Describe in detail the hosting platform for the proposed System and how it meets the requirements set forth in Section 2.8 of the RFP. Include details concerning the location of data centers and how the system will only be accessed from the continental United States.
2. Describe how all hosting related software will be kept current and up to date.

Hosting

TechPG has reviewed each requirement contained in Section 2.8 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

E.3.1.

The EnABLE implementation for ANRC will be hosted by TechPG at our contracted managed data center and backup facilities located throughout the eastern United States that provide on-site, around-the-clock monitoring, including disaster recovery and automatic failover support so that no data will be lost and the system will be available at all times. The implementation uses virtual servers in a multi-tenant environment with each installation located in its own environment. The use of Virtual Servers provides instant

performance adjustments to handle peak processing needs and your growing portfolio requirements.

TechPG has utilized the services of Expedient for the past 10 years to provide hosting services for the EnABLE installations and have not had a single system outage during that time. TechPG is currently hosting the operations of five other state agency EnABLE installations. All equipment used, including data storage, is located within the United States. Access to the environment is only through a VPN that only supports domestic access.

The hosting environment includes redundant power, fire suppression, and 24 hours per day, 365 days per year on-site security. The hosting environment includes:

- Redundant Internet connectivity
- Redundant firewalls
- Virtual Private Network (VPN) services
- Secured remote access methods
- Fault tolerant internal network with gigabit Ethernet backbone
- Clustered central file and database servers
- Load balanced application and web servers
- Hardware accelerators
- Three tier development environment
- Nightly backups
- 24x365 monitoring of all services and servers

E.3.2.

All maintenance and software upgrades and patching are performed by Expedient staff on scheduled cycles. Emergency patches are identified by the software vendor and implemented as needed. Notifications of all scheduled and emergency updates will be provided to ANRC as they are announced. The updates and upgrades are included as part of the EnABLE hosting service and at no additional cost.

TechPG's EnABLE solution provides encryption of all data at rest and in transit. TechPG, in conjunction with our system hosting provider, Expedient, implements the security domains espoused by ISO/IEC 27001.

The hosting solution will include both Test and Production environments and has been sized to support an organization that is 10 times the current staff size and transactional load of ANRC.

E.4 SYSTEM ACCESS

1. Describe how users will access the system in accordance with requirements set forth in Section 2.9 of the RFP.
2. Describe how the proposed system is browser neutral and will be accessible and function accurately when accessed from various device types.

System Access

TechPG has reviewed each requirement contained in Section 2.9 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

E.4.1. and E.4.2.

Access to EnABLE is through a secure encrypted website using a URL that is unique to ANRC. EnABLE has been developed as a Responsive Web system that complies with the latest web standards, HTML5 and CSS3. This provides the following benefits:

- All Browser support – using these standards generates a system that can be rendered by all browsers in a consistent manner and supports new browsers as they are developed.
- Removes need for plugins – HTML5 eliminates the need for plugins such as Flash since it inherently provides this type of functionality. EnABLE does not require any plug-ins, add-ons or helper applications.
- Responsive functionality – being a Responsive Web system means that EnABLE will automatically resize, hide, shrink, or enlarge to make it look good on all devices (desktops, tablets and phones).
- Provides future support for new controls that are written to the HTML5 and CSS3 standards to provide enhanced functionality to EnABLE.

In addition to the use of HTML5 and CSS3 to provide an enhanced user experience, EnABLE has been developed to be consistent in how each module and function is accessed. All functionality in the system is accessed in the same manner by presenting a high-level search screen, a general view screen, an add/update screen and supporting tabs containing

related data. Once a user has learned the navigation of one area of the system, they know how to navigate and use them all.

The comprehensive automated workflow functionality provided by EnABLE is described in section E.14, Workflow Processing, below.

E.5 USER ROLES & ACCESS

1. Describe the system's ability to restrict access by user roles as described in Section 2.10 of the RFP. Provide details concerning what user types are available out of the box, as well as the contractor's ability to create custom user roles required by the State.
2. Describe the proposed system's ability to meet the password complexity, lockout, and retrieval requirements set forth in Section 2.10 of the RFP.
3. Describe the proposed system's User Management System and how it meets the requirements set forth in Section 2.10. of the RFP.

User Roles and Access

TechPG has reviewed each requirement contained in Section 2.7 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

E.5.1.

EnABLE provides a robust security framework that wraps around the integrated database to control which users can see and use specific functions. This facilitates web-based integration, providing important access to operational and regulatory information by any stakeholder that has an internet browser (and, of course, a user ID and password).

Work With Roles

Role Name:
Description:

+ add new

			Role Name	Description	
			Agency Partner Reviewer	Agency partner can review client applications	<input type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client
			Application Admin	Dynamic Forms Application Administrator	<input checked="" type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client
			Auditor	View Only Role	<input checked="" type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client
			Bond Supervisor	Access to bond functionality only; use in conjunction with more general role	<input type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client
			Business Partner Reviewer	NMFA Loan Consultant Reviewer	<input checked="" type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client
			Chief Lending Officer	Chief Lending Officer Role	<input checked="" type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client
			Draw Request Update Permission	Ability to update draw request amount	<input checked="" type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client
			DW COI and CBR-PBR	Access to Drinking Water COI Additional Attribute Group and CBR/PBR Tab	<input checked="" type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client
			External Client Admin	External Client role with ability to submit application	<input type="radio"/> Internal <input type="radio"/> Business Partner <input checked="" type="radio"/> Client
			External Client User-Read Only	Read-only access to external client information and applications	<input type="radio"/> Internal <input type="radio"/> Business Partner <input checked="" type="radio"/> Client
			External Client with Application Access	Clients' access into the system to enter applications	<input type="radio"/> Internal <input type="radio"/> Business Partner <input checked="" type="radio"/> Client
			External Client with Draw Request	Clients' access into the system to enter applications and draw requests	<input type="radio"/> Internal <input type="radio"/> Business Partner <input checked="" type="radio"/> Client
			External Client-Technical Assistant	Access to clients' records to enter applications	<input type="radio"/> Internal <input type="radio"/> Business Partner <input checked="" type="radio"/> Client
			Final Post Financial Activity	Ability to post financial activity transactions to create effective dates	<input checked="" type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client
			Inquiry Role	Allows view-only (general view only) access to the entire system	<input checked="" type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client
			Loan Update Invoiced Through Date	Provides the ability to update the Loan Invoiced Through Date.	<input checked="" type="radio"/> Internal <input type="radio"/> Business Partner <input type="radio"/> Client

Examples of expansive capability of creating and assigning various security roles to EnABLE users.

The Security module is a role-based system; roles are created that contain a number of functionalities. Functionalities allow a role to access a screen, menu item, data tab, report, field, etc. and may be limited to any combination of add, view, update or delete functions on that screen. (For example, a "loan view" role may only have the ability to view a loan screen, but may not add, edit or delete information once there.) A user is assigned one or more roles that then determine what the user can and cannot see when accessing the system. Roles can be broad in nature or more refined, from screen to individual field level, from system to module, menu to screen, field to transaction.



All security roles are managed by authorized users. Security roles are defined by the type of user—internal (ANRC users), borrower/client (with built-in and customizable access), or partner (for example, external agency partners who help review loan applications.) A comprehensive functionality selector is included with the system to allow roles to be quickly generated to fit business needs. Once added, a role may be edited through the same screen; changes are reflected for every user that has been assigned this role.

E.5.2.

Security within EnABLE is configurable to the unique needs of the agency. A system settings screen allows authorized users to determine how strong system passwords must be, system timeout options and terminate session limits, login attempts allowed before usernames are locked out of the system, and other settings, including email notifications about lockouts or to change passwords at designated times. The use of answering one of three industry standard security questions selected by the user upon registration or initial login is also supported. Automated password resets are also possible with the system, but may be switched off if administrators wish to have more control over login policy. All EnABLE passwords are masked from visual display.

System Setting :: 2

General

Base System Mail Settings Document/Report Settings Functionality Settings

Production Environment Indicator	<input checked="" type="radio"/> Test <input type="radio"/> Staging <input type="radio"/> Production
Under Maintenance	<input type="checkbox"/>
Login Attempts	3
Password Expire Days	720
Password Cycle Use	6
Password Cycle Days	120
Password Reminder Days	10
Password Requirement Expression	^(?=.*{6,})(?=.*d)(?=.*[a-z])(?=.*[A-Z]).*\$
Password Error Expression	The password must be at least six characters in length and contain at least one lower case letter, one upper case letter and one numeral.

Added by: Administrator on: 09/27/10 09:37 AM
Last changed by: Administrator on: 09/06/18 02:35 PM

Update View History

EnABLE will be configured to meet all requirements in Section 2.10.G.

E.5.3.

From the User screen an authorized user may perform day-to-day administrative duties for users. Password resets, role assignments, unlocking users who have been locked out of the system, user information changes, user group assignments, and other functions are all accessed from these screens. New users may also be added from these screens. To maintain system integrity via its robust audit history functionality, users may not be deleted; rather they can be made inactive and their accounts locked, both at the login and user level.

The screenshot displays the EnABLE user management interface. On the left is a navigation menu with options like Documents, Profiles, Loans, Grants, Benefits, Funding Srv, Contacts, Security, Administration, Reports, Documents, References, and Infrastructure. The main area is divided into two tabs: 'Work With Users' and 'General Information'.

The 'Work With Users' tab shows a 'Maintain Users' section with input fields for 'User', 'First Name', and 'Last Name'. Below this is a table listing users:

	Name	First Name
	Administrator	Jack
	Administrator	Jack
	JMCHULTY	James

The 'General Information' tab shows a form for user details. It includes sections for 'General Information' (User Type, Business Partner, Name, Title), 'Change Password' (First, Middle, Last, Suffix, Former, Preferred, Job Title, Work, Mobile, Pager, Alternate), 'Start/End' dates, 'Email', 'Language', 'Active?' (checked), 'Lock?' (unchecked), 'Login Lock?' (unchecked), 'Login Lock Date', 'Login Unlock Date', and 'Preferences'. At the bottom, it shows 'Added by: Administrator' and 'Last changed by: administrator' with timestamps.

Additional user management features in EnABLE include auto saving information entered into dynamic (fillable) forms (often used for applications). Multiple browser tabs can be open during one user session for easy reference to more than one screen at a time, sharing the same unique session credentials. Active Directory can be used for single sign-on, however, all functionality within the system is controlled by integrated security roles and functions, ensuring desired security access levels at all times.

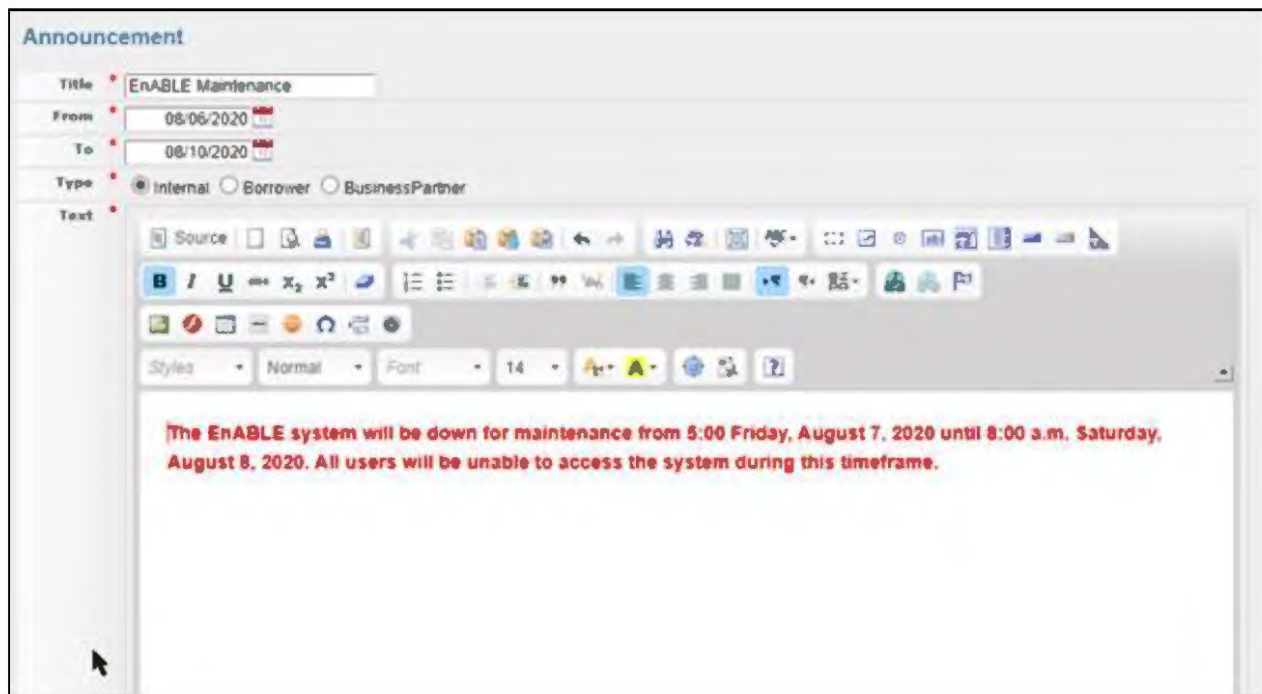
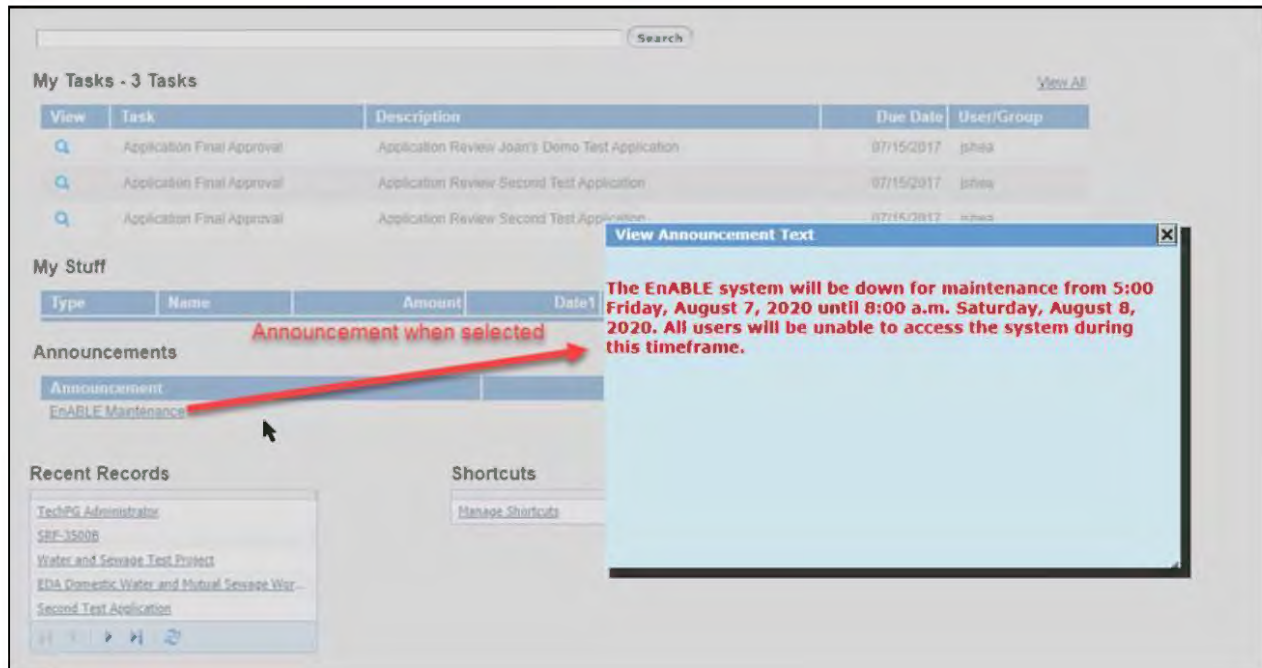
E.6 GENERAL TECHNICAL REQUIREMENTS

1. Describe how the proposed system will meet the General Technical Requirements set forth in Section 2.11. of the RFP. The discussion may include appropriate screen shots and other descriptive materials in order to fully explain the product.

General Technical Requirements

TechPG has reviewed each requirement contained in Section 2.11 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

EnABLE contains an Announcement function on the Home screen that allows an authorized user to create notifications for users. Announcements are identified for a type of user and for a display date range.



Also, on the Home page is a grid that displays all Tasks that are assigned to a user or to a group that the user is a member of. These tasks notify the user of actions or steps in a process that are awaiting their attention. Selecting a Task takes the user to the appropriate

screen in the system to perform the necessary action. Further descriptions of Tasks can be found in Sections E.12, Deliverable Tracking, and E.13, Workflow Processing, below.

The screenshot displays the EnABLE system interface with a search bar at the top right. The main content area is divided into several sections:

- My Tasks - 3 Tasks**: A table with columns for View, Task, Description, Due Date, and User/Group. It lists three tasks, all with a due date of 07/15/2017 and assigned to jshea.
- My Stuff**: A table with columns for Type, Name, Amount, Date1, Date2, Status/Type, and Role.
- Announcements**: A table with columns for Announcement, Display From, and Display To. It shows an announcement for 'EnABLE Maintenance' from 08/06/2020 to 08/10/2020.
- Recent Records**: A list of recent records including 'TechPG Administrator', 'SPF-35008', 'Water and Sewage Test Project', 'EDA Domestic Water and Mutual Sewage Wer...', and 'Second Test Application'.
- Shortcuts**: A section with a 'Manage Shortcuts' link.
- Upcoming Events**: A section for upcoming events.

Functionality within EnABLE where data must be entered on multiple pages is saved automatically as users move from page to page. Examples of this functionality are found in the Dynamic Forms used for Applications and Surveys or when entering a complete Bond Debt Schedule. While this desired functionality is supported in these types of situations, it is not present on all screens.

Web based EnABLE has been in operation for more than 10 years supporting statewide clean water and drinking water State Revolving Fund operations and has never had to purge data in any implementation. The EnABLE database structures are highly Normalized providing performance driven data access—and when implemented with the Enterprise version of Microsoft SQL Server—performance is not affected by maintaining all historical data in the production environment. As such, EnABLE does not contain periodic data Purge or Restore functionality. Maintaining all of the data also supports the ability to run reports for any time periods.

The SQL Enterprise database engine ensures that all data integrity rules are enforced on a continual basis. The system supports the ability to delete individual records if needed. Through the relational database, full referential integrity is maintained and only those records that would not break the relationships are allowed. The SQL engine controls this feature.

Microsoft SQL Server Enterprise provides a standard set up functions through the SQL Server Management Studio to perform database backups and restores. Though this functionality is provided and available to TechPG's DevOps staff, all scheduled backups are performed by the Data Centers staff using Enterprise level tools. The only time that DevOps staff use this functionality is when there is a desire to copy the Production Data to the Test system. When this occurs, a backup of the Production database is restored into the Test environment.

E.7 GENERAL LEDGER REQUIREMENTS

1. Describe how the proposed system will meet the General Ledger Requirements set forth in Section 2.12. of the RFP. The discussion may include appropriate screen shots and other descriptive materials in order to fully explain the product.

General Ledger Requirements

TechPG has reviewed each requirement contained in Section 2.12 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

Funding Sources exist in the system as a method to identify where each source of funding originates and where the funds go. Examples of funding sources would be annual federal CAP grants and state match amounts, state appropriations, bond proceeds and revolving repayments. EnABLE supports an unlimited number of funding sources. Each funding source has identifying data used for grouping, reporting and tracking and serves as the basis for integrating with GL systems.

Funding Sources :: DRINKING WATER STATE MATCH - PPRF

General	Accounting Codes	Accounts	Transactions	Indirect Trans	Escrow Accts	Expected Funding	Projected Balances	Additional Attributes	Notes	Attachments
Name DRINKING WATER STATE MATCH - PPRF										
Account Number 727282CB9										
Description										
Cash Based? <input checked="" type="radio"/> Cash <input type="radio"/> Non-Cash										
Pool Indicator <input type="checkbox"/>										
Type State Match										
Program Drinking Water State Revolving Loan Fund										
Amount \$ 39,292,338.00										
Balance \$ 2,102,065.14										
Un-Obligated \$ 277,958.72										
Group Drinking Water State Revolving Loan Fund										
Date Created 03/08/1998										
Closed //										
Comment Drinking Water State Match - PPRF										
Source <input type="radio"/> Revolving <input type="radio"/> Federal <input type="radio"/> State <input checked="" type="radio"/> Other										
COI Disbursement Funding Source DRINKING WATER ADMIN & COI										
Principal Repayment Revolving? <input type="checkbox"/> Or Repayment FS DRINKING WATER TIER II INTEREST&PRINCIPL										
Interest Repayment Revolving? <input type="checkbox"/> Or Repayment FS DRINKING WATER TIER II INTEREST&PRINCIPL										
Fee Repayment Revolving? <input type="checkbox"/> Or Repayment FS DRINKING WATER ADMIN & COI										

The Accounting Codes tab on the funding source allows for an unlimited number of combinations between transactional activity for the funding source and the entries needed in the GL system. The GL Accounts entered on this screen can have user defined formats and values to enforce the matching of the GL system's Chart of Accounts.

Funding Sources :: DRINKING WATER STATE MATCH - PPRF

General	Accounting Codes	Accounts	Transactions	Indirect Trans	Escrow Accts	Expected Funding	Projected Balances	Additional Attributes	Notes	Attachments
<div> add new </div>										
	Name	Transaction Type	PIF	Active	Start Date	Credit Account	Debit Account	Payable Credit Acc		
	DWSM	Disbursements-Loan	Principal	1	06/05/2018	9100-2560-0010	4250-2560-0100			

Transactions in EnABLE can be associated with different accounts in the system. Loans can have transactions such as Disbursements, Repayments, Forgiveness, Write-offs and Adjustments. Grants normally only have Disbursements transactions and, sometimes, Adjustments. Funding sources can have Funding, Refund, Transfer and Rollover transactions. EnABLE currently has 30 different transaction types in the system.

General Funding Rates Loan Amortization Intercept Loan Participation Expected Draws Transactions Fees Escrow Accts Tracking Checklist Compliance Collateral Ratings Related Contacts Notes Attachment						
Search in Transaction Type value = (None) +						
+ add new						
		Type	Effective Date	Transaction Date	Amount	Ret
	✗	Repayment	05/28/2020	05/30/2020	\$ 1,190.00	
	✗	Repayment	06/04/2019	06/20/2019	\$ 2,360.00	
	✗	Repayment	05/01/2018	05/08/2018	\$ 1,190.00	
	✗	Repayment	05/23/2016	10/21/2016	\$ 1,190.00	
	✗	Repayment	07/08/2015	04/07/2016	\$ 991.00	
	✗	Draw	04/28/2015	04/07/2016	\$ 23,600.00	

Transactions are either imported into the system through the import spreadsheets, automatically created as part of processes such as disbursement approvals or repayment processing, or entered manually through the adjustment screens.

Each transaction also has one-to-many Transaction Funding entries that identify the funding source and the amount of the transaction that each funding source balance is changed by. A Disbursement transaction could have one transaction funding entry if the funds only came from one funding source or have multiple transaction fundings if parts of the funds came from different funding sources. An example of a multiple might be a \$10,000 disbursement for a loan, where part of the funds came from a federal CAP grant funding source and the rest from a state match funding source. The following is the transaction funding entry for the Draw on the prior screen capture.

Transaction :: 04/07/2016		
General Transaction Funding Financial Activity Receivable Transactions		
+ add new		
	Id	Affected Funding Source
	11476	STB13SA 13-8888
		23,600.00

Besides being associated with an account and having transaction funding records, transactions are also associated with a Financial Activity record that serves as the header

record for one-to-many transactions. These financial activity records allow for keeping all of the related transactions together for tracking and auditing purposes.

Financial Activity :: 153448

General | Related Transactions | Related Receivable | Activity Request | Receipt Header | Notes | Attachments

Type	<input type="radio"/> Disbursement <input type="radio"/> Receipt <input checked="" type="radio"/> Adjustment <input type="radio"/> Transfer <input type="radio"/> Invoice	
Status	<input type="radio"/> Pending <input type="radio"/> Reviewed <input checked="" type="radio"/> Approved <input type="radio"/> Rejected	
Created on	04/07/2016	
Reviewed User		
Approved by:	Administrator	Approved Date 04/07/2016
Effective	04/07/2016	
Reference	CON Import CIF-2969 04/07/16	
Comment	Transactions imported on 04/07/16	
Receipt Type	<input checked="" type="radio"/> (None) <input type="radio"/> Check Payment <input type="radio"/> Cash Payment <input type="radio"/> Money Order <input type="radio"/> Wire <input type="radio"/> ACH Withdrawal <input type="radio"/> Credit Card	
Disbursement Type	<input checked="" type="radio"/> (None) <input type="radio"/> Check <input type="radio"/> ACH <input type="radio"/> Wire	Disbursement Number
Disbursement Status	<input checked="" type="radio"/> (None) <input type="radio"/> Outstanding <input type="radio"/> Reconciled <input type="radio"/> Void <input type="radio"/> Reissue	
Reason	Adjustment	
Invoice Number	Invoice Date //	
GL processed on:	//	
Amount	\$ 24,591.00	
Added by:	Administrator	on: 04/07/2016 06:39 PM
Last changed by:	Administrator	on: 04/07/2016 06:39 PM

Receipt Number

All of this data works together to provide a clear accounting of the transactional data in the system and how it affects the GL balances. This association between transactions, funding sources and accounting codes automatically identifies how each transaction affects the GL balances.

EnABLE has the ability to report this activity to a GL system either as detailed single transactions or as summary data where EnABLE serves as a subledger. In the example above, the system can look at transactions for a date range and see what funding source was affected. Then by matching the transaction type to the Accounting Codes for the funding source, it knows the GL entries and the appropriate Debit and Credit Account transactions that need entries created. These entries are then created either into an input file for loading into the GL system or directly into the GL system through webservices. EnABLE currently supports integrations with six different enterprise and custom-built statewide GL systems. Though not yet used, EnABLE has inherent integrations with SAP if ANRC would like to explore this option in order to automate GL data entry.

EnABLE supports the closing of accounting periods. EnABLE supports an unlimited number of accounting periods open at any one time, but once a period is closed, the system will not allow any new transactions, changes to transactions, or other account changes that would affect the closed period balances.

The above text serves as an overview of the relationships between the EnABLE financial structures and how they provide some of the GL functionality directly and how they support integration with the statewide GL system. For any of the specific requirements located in Section 2.12, General Ledger Requirements of the RFP that have not already been addressed, for the sake of brevity in this response, TechPG warrants that EnABLE provides or will provide all identified functionality.

E.8 BUDGETING

1. Describe how the proposed system will meet the Budgeting Requirements set forth in Section 2.13. of the RFP. The discussion may include appropriate screen shots and other descriptive materials in order to fully explain the product.

Budgeting

TechPG has reviewed each requirement contained in Section 2.13 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

Budgets are located at the Project level (using buttons at the bottom of the primary project screen) and track all line items and both state-provided and external funding sources. The budget functionality allows multiple templates to be defined to permit easy setup of the initial budget. A history of the budget can be kept as it changes over time. Budget data is an integral part of the Draw Request processing and balancing. Data from project budgets is fed into loan, grant, and funding source transactions and expected draw tables, which facilitates cash flow modeling through projection reports.

Client: AquaSensors LLC Project : 11992

General Awards Amendment Opportunity Activity Loans Grants Fees Project Funding Project Funding Package Project Site Tracking Checklist Compliance Ratings Draw Request Contacts Notes

Base Data Primary Project Location Sources

Project Number: 11992
Prior Project Number:
Type/Subtype: Expansion/Retention
Status: Delivery
Name: Test Program
Description: Technology company in the initial stages of commercializing its analytical sensor product. Funds for manufacturing/production equipment.
Project Amount: \$ 100,000.00
Project Closing Date: 10/17/2014
Permit Number:
Disbursement Account:
Repayment Account:

Current Status

Award	Program	Status	Detail Status	De
11992-Loan	Technology Venture Fund Loan	Closed	Closed	

Comment:

Added by: administrator on: 05/09/14 04:26 PM
Last changed by: administrator on: 10/17/2014 03:13 PM

Update Delete View History View CRH Data Import Budget Update Budget
Budget Revision View Budget Remaining Budget Add Budget Line

View Budget

Item	Amount	Grants
0210 Consulting	25,299.00	25,299.00
0295 Indirect Costs	5,000.00	5,000.00
0300 Marketing	2,500.00	2,500.00
0340 Other Prof. Services	2,500.00	2,500.00
0450 Travel	5,000.00	5,000.00
0325 Other Match	56,000.00	56,000.00
Totals	96,299.00	96,299.00

Return to Project

EnABLE's budget functionality supports an unlimited number of line items and an unlimited number of columns. The example project budget provided by ANRC (below) would be easily implemented in EnABLE, but in addition to the columns for the line item description and line amounts, additional columns would be added for each of the funding sources that will be used to pay these lines. These columns would exist for each loan or grant made by ANRC and for any external funding such as client provided equity, bank loans, community grants, etc.

Construction:	\$1,500,000
Contingencies	150,000
Engineering – Planning, Design & Construction	123,750
Engineering – Inspection	66,000
Legal Fees	17,000
Administrative	5,000
Capitalized Interest during Construction	0
Issuance fee (3%)	0
Other: Facility Plan/Environ. Report/SSSES/I&I/Utility Extension	160,000
Other: Project Performance/AIS & Davis Bacon Compliance/ O&M Man	20,000
Total Estimated Project Budget	\$2,041,750



As part of the Draw Request process, amounts actually being disbursed by ANRC against the budget line items can be recorded as well as client paid amounts to identify matching







amounts, if desired. Functionality exists to modify budgets to add or remove line items, move funds between line items and close out budgets.

Current support for Program level budgets is not as straight forward as for project budgets. Many of the requirements for this section of the RFP will be met through the use of funding sources and the ability to group them together into Funding Source Groups. The following example, used with permission, is from the New Mexico Finance Authority implementation.

Work With Funding Source Groups

Value

 add new 

			Value	Abbreviation
Investment Fund	✗		Colonias Infrastructure Project Fund	CIF
	✗		Drinking Water State Revolving Loan Fund	DW
	✗		Local Government Planning Fund	LGPF
	✗		Repayments	Repay
	✗		Tax-exempt	TaxEx
	✗		Taxable	Tax
	✗		Water Project Fund	WPF

In this case, NMFA has created a Drinking Water Group and assigned it to each of the DW funding sources. They are creating a DW funding source for each year and using it to track the amount of the yearly allocation, how much has been disbursed and repaid, the amount obligated to the year, and the amount obligated yet not disbursed and the un-obligated amount. This structure provides them information on a single year, a set of years, or for the entire program if needed.

On the following funding source screen, you can see some of the fields such as Amount, Balance and Un-Obligated. The Accounts tab lists all loans and grants obligated to this funding source with the amount obligated and amount remaining. The Indirect Transaction tab shows all of the transactions made to these accounts such as disbursements and principal and interest repayments.

Funding Sources :: DRINKING WATER STATE MATCH - PPRF

General	Accounting Codes	Accounts	Transactions	Indirect Trans	Escrow Accts	Expected Funding	Projected Balances	Additional Attributes	Notes	Attach
Name DRINKING WATER STATE MATCH - PPRF										
Account Number 727282CB9										
Description										
Cash Based? <input checked="" type="radio"/> Cash <input type="radio"/> Non-Cash										
Pool Indicator <input type="checkbox"/>										
Type State Match										
Program Drinking Water State Revolving Loan Fund										
Amount \$ 39,292,338.00										
Balance \$ 2,102,065.14										
Un-Obligated \$ 277,958.72										
Group Drinking Water State Revolving Loan Fund										
Date Created 03/08/1998										
Closed / /										
Comment Drinking Water State Match - PPRF										
Source <input type="radio"/> Revolving <input type="radio"/> Federal <input type="radio"/> State <input checked="" type="radio"/> Other										
COI Disbursement Funding Source DRINKING WATER ADMIN & COI										
Principal Repayment Revolving? <input type="checkbox"/> Or Repayment FS DRINKING WATER TIER II INTEREST&PRINCIPL										
Interest Repayment Revolving? <input type="checkbox"/> Or Repayment FS DRINKING WATER TIER II INTEREST&PRINCIPL										
Fee Repayment Revolving? <input type="checkbox"/> Or Repayment FS DRINKING WATER ADMIN & COI										

The project budget functionality explained above also has the ability to work at the Program level with the annual funding sources being the “columns” of the budget. This allows ANRC to track activity by line item detail against each budget year.

During the Configuration phase of the project, TechPG will work with ANRC to ensure that the functionality required for this section will be met either through existing functionality or enhancements to this functionality to provide a robust program budget solution.

E.9 ACCOUNTS PAYABLE

1. Describe how the proposed system will meet the Accounts Payable Requirements set forth in Section 2.14. of the RFP. The discussion may include appropriate screen shots and other descriptive materials in order to fully explain the product.

Accounts Payable

TechPG has reviewed each requirement contained in Section 2.14 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

There are several EnABLE processes that make up the Accounts Payable functionality described in this section.

- Vendors and Contracts
- Bond Tracking
- Invoicing
- Draw Requests

Vendors are entered into EnABLE as an Organization with a type of “Vendor” and the Vendor Indicator checked. This allows the system to permit this organization record to be assigned to Contracts and be eligible for Draw Requests.

Organization :: 4 Rivers Holdings LLC

General	Phone Num	Activity	Leads	Staff	Related Contacts	Notes	Attachments	Additional Attributes	Ownership	Contracts	Statistics
Name	4 Rivers Holdings LLC										
DBA Name											
Legal Entity Type	Limited Liability Company										
Date Established	/ /										
Type	Vendor										
Vendor Indicator	<input checked="" type="checkbox"/>										
Location	Other										
Parent Organization											
Website											

Contracts exist to provide detailed reporting and tracking on the amount authorized to be disbursed and the disbursement histories. These Contract records appears on the Draw Request screen to identify why the disbursement is being done and to ensure that not too much is disbursed.

Contract :: 4 Rivers Holdings, LLC-1

General	Contract Bank Info	Transactions
Vendor	4 Rivers Holdings LLC	
Status	Approved	
Number	4 Rivers Holdings, LLC-1	
Name		
Description		
For Disbursement?	<input checked="" type="checkbox"/>	
Original Bid Amount	100,000.00	Original Bid Amount Allowable 100,000.00
Amount	100,000.00	Amount Allowable 100,000.00
Amount Drawn	\$ 20,765.57	Amount Remaining \$ 79,234.43
Expected Duration	0	Duration 0
Approval Date	/ /	Completion Date / /
Expected Completion Date	/ /	Released Date / /
Received Date	/ /	Due Date / /
Original Due Date	/ /	
Comment		

Contract :: 4 Rivers Holdings, LLC-1

General Contract Bank Info Transactions

Project Number	Account Name	Transaction Date	Effective Date	Amount	Direct Pay?	Reference Num	Request Number	Invoice Number
DW-4877	DW-4877	03/03/2020	01/28/2020	\$ 3,604.71	<input checked="" type="checkbox"/>		1	
DW-4877	DW-4877A	03/03/2020	01/28/2020	\$ 13,910.86	<input checked="" type="checkbox"/>		1	
DW-4877	DW-4877	02/17/2020	02/19/2020	\$ 668.85	<input checked="" type="checkbox"/>		2	
DW-4877	DW-4877B	02/17/2020	02/19/2020	\$ 2,581.15	<input checked="" type="checkbox"/>		2	

Contracts are associated with either Projects for loans or grants or the generic Agency project used for disbursing funds directly. Disbursed funds can be by check, ACH or Wire processing. EnABLE also supports the ability to Hold-Back a portion of each disbursement until a set time or it is released manually.

This summary should give ANRC a good overview of the Vendor process. For the sake of brevity in this response, TechPG warrants that all requirements related to Vendors and Vendor Access will be provided.

EnABLE contains a complete Bond Tracking module for bond issuance and tracking. Bond proceeds are used to fund one-to-many funding sources, which are then used to fund loans and sometimes grants. Bond screens allow a user to enter and track bond issues and series. Bonds may also be tied to funding sources as needed. The bond module offers the following key features:

- Bonds are grouped by issue and series.
- Information contained within a bond, including ratings, use of proceeds, credit enhancements, par amounts, arbitrage costs, and other fields, are stored in the bond record on the Sources, Use of Proceeds, Credit Enhancements, Collateral, and Escrow Accts tabs.
- The Debt Schedules tab provides the ability to store debt schedules, which may be modified by authorized users using the bond debt modification tool allowing all refunding activity to be tracked in detail.
- Tracking for call/put dates is handled within the Bond Dates tab.

- Support is offered for bond pool loans, which allow loans and their repayments to be directly tied to bonds for sufficiency purposes.

Bond :: 1995A

Bond Actions
(None) ▼

General | Debt Schedule | Bond Dates | Sources | Use Of Proceeds | Credit Enhancements | Funding Sources | Transactions | Collateral | Compliance

Bond	Cost/Yield	Ratings	Misc
Issue	PPRF1995A	Series	1995A
Name	Public Project Revolving Fund Tax-Exempt Revenue Bonds Senior Lien 1995A		
Status	Fully Matured	Sale Type	
Obligor Name	Depository Trust Corporation	Lien Type	Senior
Program	Public Project Revolving Fund	Type	Revenue
Par Amount	\$ 41,230,000.00	Total UOP Amount	\$ 0.00
Mode	Fixed	Frequency	Annual
Purpose			
Dated Date	07/20/1995	Delivery Date	07/20/1995
Disclosure Date	07/20/1995	Maturity Date	06/01/2023
Tax Exempt	<input checked="" type="checkbox"/>		
Taxable Amount	\$ 0.00	Tax Exempt Amount	\$ 0.00
Underwriter	New Mexico Finance Authority		
Trustee	BOKF, NA Albuquerque NM		
Scheduled Type	<input checked="" type="radio"/> Bond <input type="radio"/> Loan		
Bond Owner	New Mexico Finance Authority		
Added by:		Administrator	on: 07/24/17 02:51 PM
Last changed by:		orodriguez@nmfa.net	on: 07/26/17 07:34 PM

Update **Delete** **View History**

The Invoicing process is an on-demand process that a user can run at any time for individual invoices, some invoices or all invoices. The parameters on the Invoice screen determine the scope of each invoice run. Running invoices generates the Invoice documents and the creates the Receivable records on the appropriate Accounts.

The following is an example of a single Loan Processing run.

Process Invoices

*Selecting no program will invoice all loans for all programs.

Loan: 10085-Loan

Program: (None)

Invoice Through: 10/21/2014

Preview **Process Invoices**

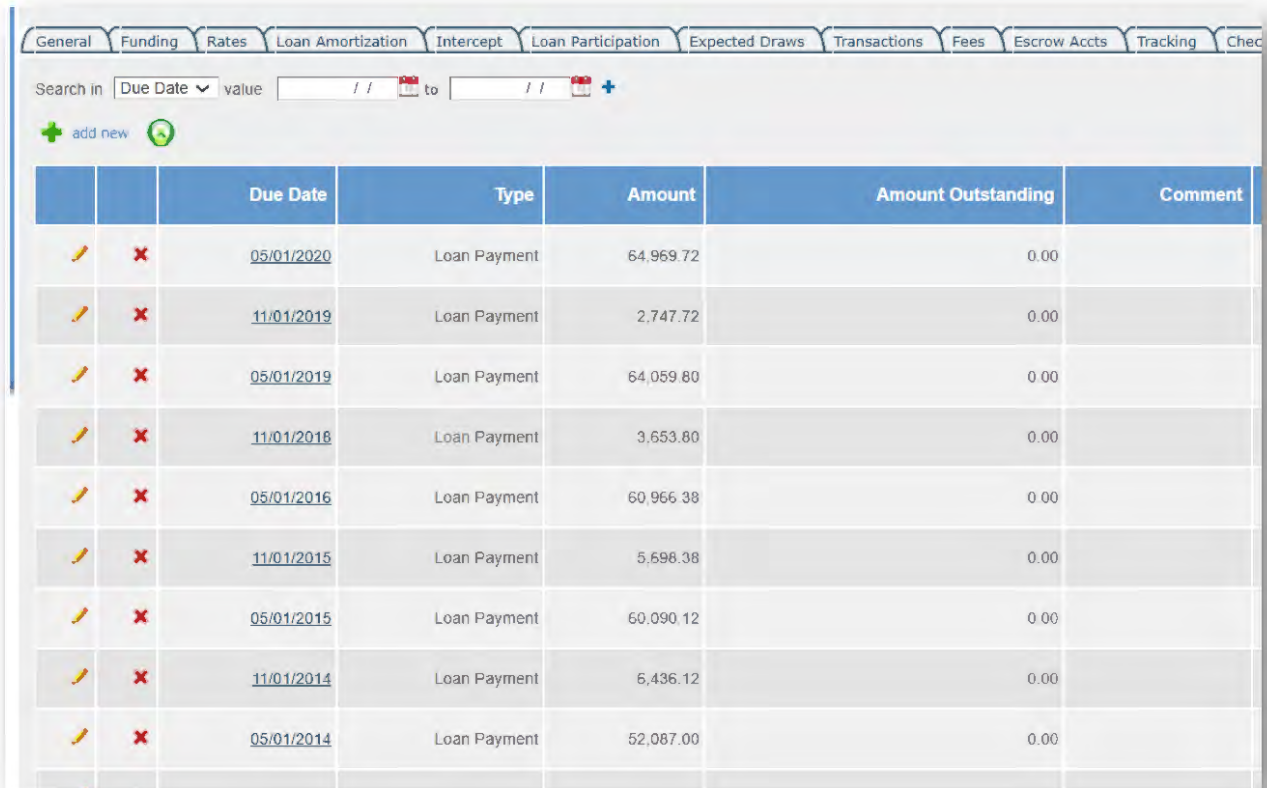
Loan invoicing is driven by the Amortization data for a loan using the Principal, Interest and Fee amounts. An entire program or an individual loan is selected and a date to invoice through is entered, then the Preview button creates a report to review the amounts to be invoiced prior to processing.



















EnABLE Demo							Date:	10/21/14
Pending Invoices Through 10/21/2014							Time:	03:10:12 PM
All Programs							Page:	1
Client Name	Loan	Email Status	Due Date	Current Due	Past Due	Total		
ConjuGon, Inc.	10085-Loan	No Email Present	10/01/2014	\$ 10,674.00	\$ 26,685.00	\$ 37,359.00		
Total to be Invoiced				\$ 10,674.00	\$ 26,685.00	\$ 37,359.00		
Grand Total to be Invoiced				\$ 10,674.00	\$ 26,685.00	\$ 37,359.00		

This Preview step allows a user to review the data and make any changes necessary prior to actually running the invoice. Once any changes are made, the Preview report can be run again to validate the change was as desired.

Pressing the Process Invoices button creates the invoices, emails them to the recipients and sets the loans' invoice through date. Once pressed, the data can no longer be previewed. Receivables are created for each amount invoiced and a copy of the Invoice document is attached to the loan record. Receivables are paid off as repayments are

received and serve as the basis for Aging and Delinquency reporting. Receivables can be viewed on the Loan on the Receivable Tab.



		Due Date	Type	Amount	Amount Outstanding	Comment
		05/01/2020	Loan Payment	64,969.72	0.00	
		11/01/2019	Loan Payment	2,747.72	0.00	
		05/01/2019	Loan Payment	64,059.80	0.00	
		11/01/2018	Loan Payment	3,653.80	0.00	
		05/01/2016	Loan Payment	60,966.38	0.00	
		11/01/2015	Loan Payment	5,698.38	0.00	
		05/01/2015	Loan Payment	60,090.12	0.00	
		11/01/2014	Loan Payment	6,436.12	0.00	
		05/01/2014	Loan Payment	52,087.00	0.00	

Vendor invoicing follow the same process with the invoices attached to their Organization record.

There are processes for voiding and reissuing invoices and correcting errors after the invoices and receivables have been created.

This summary should give ANRC a good overview of the Invoice process. For the sake of brevity in this response, TechPG warrants that all requirements related to Invoices will be provided.

The Draw Request process is driven by approval flows that can be defined for as many unique situations as needed. The approval flow can be as simple as one person enters it

and another approves it, to a multi-step approval process with both internal and external reviewers being involved.

The following shows what a Drinking Water flow looks like for one of the EnABLE clients that contains both internal and external users.

Activity: Approval
Description: Draw Request

Type: Draw Request
Initial Task: CW-DW Draw Request Needing Review

Select the criteria for the Draw Request Approval - Leaving empty will apply for all Approvals

Program: (None)
Borrower Type: (None)
Project Type: Drinking Water
Loan Type: (None) Only valid for Loan Based Draw Requests
Grant Type: (None) Only valid for Grant Based Draw Requests

Added by: Administrator on: 02/03/15 08:25 AM
Last changed by: Administrator on: 02/18/15 10:48 AM

Item	Task	Description	Approval Task	Reject Task
1	CW-DW Draw Request Needing Review	Initial DR Received for Review by Engineering	Draw Request, Awaiting Approval	Resubmit Draw Request
2	Draw Request, Awaiting Approval	DR Approved by Engineering, Sent to Fiscal Management for Approval	Pending Disbursement, Assign Funding	CW-DW Draw Request Needing Review
3	Pending Disbursement, Assign Funding	DR Approved by Fiscal Management, Sent to Funding Source Assignment	Final Approval Draw Request	Draw Request, Awaiting Approval
4	Final Approval Draw Request	Funding Sources Assigned, Sent to Final Approval	(None)	Pending Disbursement, Assign Funding
5	Resubmit Draw Request	Resubmitted DR Received for Review by Engineering	CW-DW Draw Request Needing Review	(None)

The Draw Request process begins by a user accessing the Draw Request screen and entering the initial data.

Submit Draw Request

Legal Name: Town of Blades
Project Number: CW-Test-01
Request Date:
Amount Requested: 0.00
Request Number: 2
Request Purpose:
For Period: To:

Supporting File(s) must be a PDF.
Supporting File(s):

Proj Fund Src:	Amount	CWSRF Remaining	Req Amount	Loans Remaining	Req Amount
Non-Point Source Project Budget Item	5,000.00	2,500.00	<input type="text"/> 0.00	2,500.00	<input type="text"/> 0.00
Totals	5,000.00		0.00		0.00

Budget Amount Requested: 0.00
Match Amount Entered: 0.00

Total **Submit** Only press Submit once - This may take a minute or two to upload the file(s).
[Return To Project](#)

Enter the Request Date, Amount Requested, and Request Purpose. EnABLE automatically assigns the next Request Number, but this can be changed if needed. Attach supporting files and enter the amounts to be deducted from each budget line item and funding source column.

Press Total to sum the columns or verify the entered data. Press Submit when complete.

Once submitted, reviewers will process through the approval path, being notified by tasks and emails that their attention is needed. The reviewer can either approve the Draw Request as submitted, approve the request with modifications (in some situations), or reject the request. If the Draw Request is rejected, a comment must be entered to identify the reason for the rejection. A task is then sent to the submitter notifying him or her of the rejection. The request can be corrected and resubmitted or left alone. If the request is approved, it is forwarded to the next stage in the review process, and the review process continues until all approvals are received and all data entered.

As the process is proceeding, the system is recording each step and keeping a detailed history that can also be used to reporting on stalled workflows.

Task	Start Date	End Date	Action Taken	User	Comment
NPS Invoice Awaiting Review	04/28/15	04/28/15	<input checked="" type="radio"/> Approve <input type="radio"/> Reject	Administrator	
Draw Request, Awaiting Approval	04/28/15	04/28/15	<input checked="" type="radio"/> Approve <input type="radio"/> Reject	Administrator	
Pending Disbursement, Assign Funding	04/28/15	04/28/15	<input checked="" type="radio"/> Approve <input type="radio"/> Reject	Administrator	
Final Approval Draw Request	04/28/15	04/28/15	<input checked="" type="radio"/> Approve <input type="radio"/> Reject	Administrator	

Once the final step has been approved, the system will create disbursement transactions for the appropriate Accounts with the identified funding sources. These disbursement transactions are then used to disburse the funds through the check writing, ACH or wire process.

This summary should give ANRC a good overview of the Draw Request process. For the sake of brevity in this response, TechPG warrants that all requirements related to Draw Requests will be provided.

TechPG has reviewed the Online Inquiry and Standard Reports requirements in this section and believes that the current EnABLE online environment and existing reports meets these needs. During the configuration phase of the project, TechPG will work with the ANRC team to verify all requirements are met and identify any changes or new reports needed to provide ANRC the solution desired.

E.10 LOAN & GRANT TRACKING

1. Describe how the proposed system will meet the Loan Tracking Requirements set forth in Section 2.15. of the RFP. The discussion may include appropriate screen shots and other descriptive materials in order to fully explain the product.

Loan and Grant Tracking

TechPG has reviewed each requirement contained in Section 2.15 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

For some requirements found in RFP Section 2.15, TechPG's response is covered in detail in other areas of this proposal. In order to keep this section to a reasonable size, we are providing the following references:

- E.5, User Roles & Access – Describes user access and what users can and cannot see or do
 - Several individual requirements related to restricted user access
- E.7, General Ledger Requirements – Describes funding sources
 - Req. 2.15.C, Program Tracking (Funding Source)
- E.9, Accounts Payable – Describes bond functionality and vendor processing
 - Req, 2.15.B, Bond Tracking
 - Req. 2.15.D, Project/Contract Tracking – Contract related requirements
 - Req. 2.15.I, Vendor Access
- E.12, Deliverable Tracking – Describes how compliance processing and workflows are handled in EnABLE for lifecycle tracking plans and checklists
 - Several individual requirements related to compliance and workflows/checklists
- E.13, Workflow Processing – Provides additional details on how workflows are handled in EnABLE for lifecycle tracking plans and checklists
 - Several individual requirements about workflows/checklists

EnABLE was architected with the following two basic principal in mind:

Ease of use – Users should not have to take a 40-hour class to learn how to navigate and use the system. It should be intuitive and allow the user to focus on performing their job and not on finding the data and process to do their job.

User configurability – As little as possible has been “Hard Coded” into EnABLE.

EnABLE provides authorized user control on processes, workflows and field values.

Ease of use

EnABLE's data structures are based upon the concept that a Borrower should only exist once in the system. Projects belong to a Borrower, and Borrowers can have one to many Projects. Loans and Grants belong to a Project, and Projects can have an unlimited number of Loans and Grants. This allows users to access data either by drilling down from the Borrower, through the Project to the Loan or Grant, or directly through searches for each level. Additionally, EnABLE provides a global search functionality that will search all records for the entered search criteria.



Once you find the record you are looking for, the navigation within EnABLE follows the same path regardless of what type of record you are on. The first screen displayed is a General screen that shows the records data in Inquiry mode. From there you can update the data if you have authority to or see the related tabs which show multiple records or related data.

Once a user has navigated one data record and understands the data structure of EnABLE, then he or she is ready to navigate the entire system.

User Configurability

While EnABLE is considered an off-the-shelf product, it was intentionally built with the idea of being highly configurable to more fully meet the individual and often unique needs of state agencies' business processes. The flexibility of the software helps insure that as requirements change or new programs are adopted, EnABLE is easily able to be updated to meet the future needs of its clients.

The following items are some examples of how EnABLE has been implemented so that an authorized a user can maintain the system:

- All fields that have defined values can have their valid values changed or added to
- Menu Items can be rearranged or renamed
- New programs can be implemented that are then automatically included in all reports and workflows
- New tasks can be created and incorporated into workflows
- Compliance item can have an unlimited number of reminders with unique number of days lead time and messages
- Reports and documents can be modified by users and new ones created and incorporated in the menu structure
- Workflows and checklists can be modified as needed
- User can define their own fields (Additional Attributes) and then use them on documents and reports

These principles provide users with a system that is highly intuitive and can grow with their needs without having to involve the vender to make changes.

Projects

Project records are used to link Borrowers with the Loans and Grants and record much of the non-financial data related to the work being funded. Projects have basic demographic data and a series of related data. The basic data consists of fields such as a Project Number, Type and Subtype, Status Description and Location.

Borrower: [EDA Domestic Water and Mutual Sewage Works Association](#) **Project :** 5894-WS-Test

General Subtypes Awards Amendment Activity Loans Grants Draw Request Project Funding Package Project Site Districts Milestones Tracking Checklist

Base Data [Primary Project Location](#) [Sources](#)

Project Number	5894-WS-Test		
Prior Project Number			
Type/Subtype	Water		
Status	Active		
Name	Water and Sewage Test Project		
Description	Maintenance of water and sewage facilities. Test Description at Project Level		
Project Amount	\$ 500,000.00		
Project Closing Date	05/16/2016	Project Funded At Closing to Escrow	
Permit Number			
Disbursement Account			
Repayment Account			

Current Status				
	Amount	Drawn	% Drawn	Remaining
Project	\$ 500,000.00	\$ 69,633.00	13.93	\$ 430,367.00
Loans	\$ 0.00	\$ 0.00	.00	\$ 0.00
Grants	\$ 1,114,737.00	\$ 69,633.00	6.25	\$ 1,045,104.00

Comment [Test Comment at Project Level](#)

In addition to the base data on the General tab, there are 23 other Project data tabs that may be used by ANRC. These tabs include:

Project Tabs		
General	Subtypes	Modifications
Activity	Loans	Grants
Escrow Accounts	Draw Request	Project Funding Packet
Project Sites	Districts	Milestones
Tracking Plans	Checklists	Compliance
Related Contacts	Notes	Attachments
Additional Attributes	Record Storage	Permit
Contract	Emails	Project Segment

EnABLE configuration staff will work with ANRC to determine which of the tabs are applicable to your needs.

Loans

Loans have basic data and a series of related tabs. The following are views of the basic loan data.

Loan Status						
Loan Amt/Remaining	\$ 1,040,455.00 / \$ 0.00					
Funding Shortage	\$ 1,040,455.00					
	Date	Amount	Aging			
			1-30 Days Late	\$ 0.00		
Last Draw	01/30/2006	\$ 43,615.51	31-60 Days Late	\$ 0.00		
Last Payment	05/27/2020	\$ 483.01	61-90 Days Late	\$ 0.00		
Current Payment	//	\$ 0.00	91-120 Days Late	\$ 0.00		
Next Payment	11/01/2020	\$ 1,814.39	120+ Days Late	\$ 0.00		
			Total	\$ 0.00		
Type	Name	Drawn/Accrued	Repaid	Adjustments	Balance	Daily Amount
Loan	Principal	1,040,455.00	919,986.70	0.00	120,468.30	0.00
Loan	Interest	307,169.96	306,228.79	0.00	941.17	9.24
Loan	Rate Based Fee	27,976.33	27,838.91	0.00	137.42	0.84
Loan	Total Due	0.00	0.00	0.00	121,546.89	0.00

Loan	
Loan Number	DW-463
Loan Name	Waterline Replacement
Description	
Program/Amount	DW / 1,040,455.00
Original Amount	0.00
Type	Permanent Loan <input checked="" type="checkbox"/> Consumer Loan? <input type="checkbox"/>
Status/SubStatus	Fully Disbursed / Current
Status Date	//
Board Approved Date	08/02/2002
Loan Closing Date	08/02/2002
Comment	Repayment
Mode/Rate Lock Date	Fixed / //
External Rates (Variable Rates)	External Rate Difference 0.000
Invoice	<input type="radio"/> Email Attachment <input checked="" type="radio"/> Printed/Mailed <input type="radio"/> Send None Invoiced Through 05/01/2020
Accrual Status	<input checked="" type="radio"/> Accruing <input type="radio"/> Non-Accruing <input type="radio"/> Cash Accrual Status Date //
Dual/Shadow Indicator	<input type="checkbox"/> Dual/Shadow Date //

General	Funding	Rates	Loan Amortization	Intercept	Loan Participation	Expected
Status	Loan	Terms	Forgivable	Misc		
Maturity Date/Amortization Term/Term	05/01/2022 / 20 20					
Days Per Year	30/360		Bond Based Interest	<input checked="" type="checkbox"/>		
First Interest Due/Freq.	05/01/2003 / Semi_Annual					
First Principal Due/Freq.	05/01/2003 / Annually					
Payment Amount	\$ 0.00					
Payment Amount Is Principal?	<input type="checkbox"/>					
Prepay Provision						
Prepay Provision Date	/ /					

General	Funding	Rates	Loan Amortization	Intercept	Loan Participation	Expected
Status	Loan	Terms	Forgivable	Misc		
Forgivable	<input type="checkbox"/>					
Date	/ /	Amount	0.00			
Percentage	0.00					
Forgivable Comment						

General	Funding	Rates	Loan Amortization	Intercept	Loan Participation	Expected
Status	Loan	Terms	Forgivable	Misc		
Assigned To	/ /					
Pledged To	/ /					
Risk Percentage	0.00					
Purpose	Waterline Replacement					
Integrator						
Trustee						
Participation Status	<input checked="" type="radio"/> N/A <input type="radio"/> Primary <input type="radio"/> Participant					
Line Of Credit Indicator	<input type="checkbox"/>					
Late Charge Amount	\$ 0.00					
Late Charge Percent	0.00					
Grace Days	0					
Disbursement Account						
Repayment Account						
Monthly Deposit Required?	<input type="radio"/> N/A <input checked="" type="radio"/> Monthly <input type="radio"/> Amortization Based					
Deposit Pool	Drinking Water DS Account (CM-5)					
Project Funding for Loan						

Tabs for the Loan functionality include:

Loan Tabs		
General	Funding	Rates
Tracking	Checklist	Compliance
Amortization	Intercept	Expected Draws
Fees	Transactions	Draw Request
Escrow Account	Collateral	Ratings
Related Contacts	Notes	Attachments
Additional Attributes	Receivables	Loan Participation
Emails	Characteristics	Sources
Uses	Applications	

EnABLE also contains several other functions that are used throughout the system.

Attachments

Attachments allow users to upload and associate documents to different records in the system. For security reasons, EnABLE has a White List feature that allows an authorized user to identify the only file extensions that can be added. Besides users uploading the documents, several system processes such as Invoicing and Loan Payoff Calculations automatically create and attach documents.

Emails

All emails generated by EnABLE are automatically saved within the system for review and tracking. Emails are automatically generated by actions such as Invoicing, Compliance and workflow processing. EnABLE will be enhanced to capture returned emails from Outlook/Exchange servers and store them in the system.

Contacts

The EnABLE Contacts module is used to record and store information about the people involved with the borrowers, projects, loans, grants or other awards managed by ANRC. Each contact exists as a single record in EnABLE. The contact is typically employed by one

company (called an Organization in EnABLE) but may be tied to (or “associated with”) numerous other relevant records in EnABLE via Contact Roles.

Contact : Mark B Samsung

General | Contact Method | Contact Address | Notes | Additional Attributes | Attachments | Groups | Associations

Prefix: Mr.
 First: Mark
 MI: B
 Last: Samsung
 Full Name: Mark B Samsung
 Lookup Name: Samsung Mark with City of Test1
 Preferred: Mark
 Suffix:
 Employer: City of Test1
 Job Title: Mayor
 Comment:
 Contact Active: ☒ Active ☐ Inactive
 Added by: teakins on: 12/01/15 02:03 PM
 Last changed by: teakins on: 12/01/15 02:03 PM
 [Update] [Delete] [View History]

Actions

[Email] [Fax Sheet] [Envelope] [Letter] [Memo]

Contact Roles are a list defined by ANRC that identifies the role that a contact can play on a project or other record. An example would be an engineer who serves as the project engineer on six projects. He would have a single contact record, but on the different projects, he would be shown under the Related Contacts tab as the Project Engineer. On his contact record under the associations tab, it would show a line for each of his six projects.

Each contact is also associated with an Organization identified by the Employer field. Through the organization record, the Activity tab supports the scheduling and tracking of all interactions between the organization/contact and ANRC. Each interaction is recorded and tracked separately.

Activity

Description *

Type * ☒ Phone Call ☐ Meeting ☐ Task ☐ Correspondence ☐ Email ☐ Briefing

Purpose

Status * ☒ N/A ☐ Scheduled ☐ In Progress ☐ Completed ☐ Cancelled

Activity Date *

Start Time


Status Date

Priority ☒ N/A ☐ Low ☐ Medium ☐ High

End Time

Comment

B I U abc x₂ x²



Show on Calendar? ☐

Tracked? ☐

Location

Visibility ☒ Public ☐ Private ☐ Show As Busy

Phone Number

Document Generation

EnABLE has very robust document generation functionality. The system can accommodate any number of client-defined documents for on-demand or automated document generation. EnABLE utilizes Microsoft Word and tagged fields to create document templates. These templates are later editable by authorized users, eliminating developer intervention and assuring a future-proof system that adapts to changing business needs.

REQUEST FOR DRIVE BY APPRAISAL

+

TO: ClientName **ContactFullName**
Table Address: 1x1 table inserted here
Table Address

FROM: UserFirstName **UserFirstName**
UserLastName **UserLastName**
Financial Assistance Branch
5 E Reed St, Suite 200
Dover, DE 19901

Phone: ContactPhone **ContactPhone** Phone: (302) 739-9941

Fax: ContactFax **ContactFax** Fax: (302) 739-2137

Date of Request: DocumentDate **DocumentDate**

Please perform a Broker's Opinion of Value for the property and owner(s) listed below. If you need additional information on this property, please give me a call. Thank you.

Tax Parcel No.:	UserTag-ProjectTaxParcel TaxParcelNumber
Property Address:	DfItem-PropertyAddress PropertyAddress
Current Owner:	DfItem-CurrentOwnerName CurrentOwnerName
Date Purchased:	DfItem-PurchaseDate PurchaseDate

A number of datasets have been created within EnABLE incorporating system fields. These datasets contain a number of tags which may be attached to fields in Word documents. A new document is registered to the system with these tags in place; when the document is generated the solution replaces these tagged fields with the data requested.

When a document is generated, the profile determines if the document is to be shown on the screen for review or automatically sent or printed. There is also a menu item that supports global searching of the entire system for attached documents.

Attachment Search

Client: Program: (None)

Type: (None) File Name:

Description: Comment:

Meta1: Created by:

Meta2: Created between: // 12:00 AM and // 12:00 AM

Meta3: Effective Date between: // and //

Content:

Attachment Id	Action	Account Name	Type	Description	File Name	File Type	Comment	Created by	Created on	Effective Date	Meta1	Meta2	Meta3
---------------	--------	--------------	------	-------------	-----------	-----------	---------	------------	------------	----------------	-------	-------	-------

Default templates will be created during implementation for defined business processes. Examples include invoices, delinquency letters, and audit letters. These documents will be modified to fit the particular needs of the implementation.

Work With Templates

Description:

	Description	Document Name	Document File	Status	Output
<input type="button" value="edit"/> <input type="button" value="delete"/>	Appraisal Request Form	AppraisalRequestForm	<input type="button" value="upload"/>	<input checked="" type="radio"/> Valid <input type="radio"/> Invalid	<input checked="" type="radio"/> Open and Display <input type="radio"/> PDF and Email <input type="radio"/> Word and Email
<input type="button" value="edit"/> <input type="button" value="delete"/>	Construction Bid Request Form		<input type="button" value="upload"/>	<input type="radio"/> Valid <input type="radio"/> Invalid	<input checked="" type="radio"/> Open and Display <input type="radio"/> PDF and Email <input type="radio"/> Word and Email

Federal CBR, PBR, NIMS, and FFATA reporting

EnABLE contains a series of screens and database tables to capture the additional fields required for federal reporting. Functionality also exists to import the current federal data into these fields to support the initial load of the data.

The screenshot displays the 'EPA Reporting' software interface. At the top left, there is a red error message: 'Record not found'. The interface is divided into several sections with tabs for 'General Information', 'Wastewater', 'Water Quality', and 'Permits'. The 'General Information' tab is currently active, showing fields for 'NPS Project Count' (0), 'CWWS Number', 'Project Volume Eliminated Conserved' (0.00), and seven 'Category' dropdown menus (all set to 'Select a Needs Category'). There are also checkboxes for 'Ocean Outfall', 'Wetland', 'Groundwater', 'Other Reuse', 'No Change No Discharge', 'Seasonal', 'No NPDES Permit', 'Permit Type', 'No Valid Reach Code', 'Primary Impacted Waterbody Name', 'Primary Impacted State Waterbody Id', 'Other Impacted Waterbody Name', 'Other Impacted State Waterbody Id', 'Compliance Objective' (set to 'Not Applicable'), and 'Addresses Existing THDI'. The 'Wastewater' section includes 'Project Wastewater Volume' (0.00), 'Facility Wastewater Volume' (0.00), and seven 'Amount' dropdown menus (all set to '\$ 0.00'). It also has checkboxes for 'Estuary Coastal Bay', 'Surface Water', 'Land Application', 'Elimination Discharge', 'SIP Study', 'NPDES Permit Number', 'Manual NPDES Permit', 'Permit Number', 'Primary Impacted Waterbody Id', 'Receiving Waterbody Primary', 'Other Impacted Waterbody Id', 'Receiving Waterbody Other', 'Water Quality' (set to 'Not Applicable'), 'Affected Waterbody Status' (set to 'Not Applicable'), and 'Addresses Project THDI'.

Functionality was developed to integrate this data with the Federal databases. Testing of this integration was scheduled to begin when the effort to update the federal systems was announced by the EPA. Based upon EPA's initial schedule, it was determined to hold on EnABLE's testing activity until the new specifications were made available. However, due to extensive delays in the upgrade of the federal databases, TechPG has re-contacted the EPA to move forward with testing EnABLE's existing integration.

When the federal system update is completed, EnABLE will be updated and provided to ANRC as part of the new release process.

E.11 LOAN PROCESSING

1. Describe how the proposed system will meet the Loan Processing Requirements set forth in Section 2.16. of the RFP. The discussion may include appropriate screen shots and other descriptive materials in order to fully explain the product.

Loan Processing

TechPG has reviewed each requirement contained in Section 2.16 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

Applications

Dynamic Forms serve as a method for authorized users to create customized questionnaires or data submission forms (such as type-specific applications) into which other users can enter data or attachments. This data can then be reviewed online for accuracy and completeness and automatically scored against other submissions.

Each form is made up of three parts:

- The form template, e.g. "2016 DWSRF Loan Application"
- The form questions, e.g. "Year last debt issued"
- External calculations such as automated calculations for the Pre-Conference Data and Financial Information form

Forms are created by first laying out the structure of the template, selecting existing questions or creating new ones, and defining any calculations that will be performed. Once the definition of the form is completed, it can be

The screenshot shows a web-based form for a loan application. At the top, it states: "Costs are estimates only; actual charges may be more or less." Below this, there are two sections for document uploads. The first section says: "Please print and sign the Authorization to Release Information form found above and attach it to your application." It includes a "Current File: (None)" label and a "Browse..." button. The second section says: "Please print and sign the Waiver of Bid Requirement found above and attach it to your application." It also includes a "Current File: (None)" label and a "Browse..." button. Below these sections, the form contains several input fields: "Address of Property:" (a large text area), "Property County:" (a text field), "Date Purchased:" (a date picker showing // and red arrows), "Cash Down Payment Amount:" (a text field with 0.00), "Purchase Price:" (a text field with 0.00), "Current Owner of Property:" (a text field), "Property Type:" (a text field), "Present Value of Property:" (a text field with 0.00), "Year House Built:" (a text field with 0), "Number of Rooms:" (a text field with 0), "Number of Bedrooms:" (a text field with 0), and "Number of Bathrooms:" (a text field with 0).

“posted” to be completed and submitted. Applicants can start a form, save it for future submission and then, when ready, submit it for review. Reviewers can request additional information; make any changes they desire and use the External Calculations to acquire derived numbers needed for reporting or decision-making purposes. The system also provides the users with a way to see all submissions by a particular applicant or all submissions for a particular form template.

EnABLE supports the following types of user-definable fields and allows users to define range values and requirement indicators:

Text	Comment	Essay	Integer
Numeric	Amount	Amount Range	Percent
Date	Date Time	Date Range	Single Selection List
Check Box	Yes/No	Attachment	No Response

Data from the dynamic form is stored separately in the system for use in such items as reporting, calculations and document generation. It can also be automatically transferred into the appropriate record once an application is approved. Documents can be generated from the Application data to support closing activities.

The content or structures of dynamic forms can be changed as needed and an existing form can be used as a template to create a new form.

Loan Interest Rates

Interest calculated on loans are based either upon the interest rates associated with the loan or by using Index-based rates.

In the following example, we see on the Rates Loan tab that this loan has three interest rates through the life of the loan. The first rate runs for the first 10 years at 1 percent with a .25 percent administration fee. The second ten years is at 2 percent and the remainder of the term is at 3 percent.

Rates	Loan Amortization	Expected Draws	Transactions	Fees	Escrow Accts	Tracking	Checklist	Compliance	Collateral	Related Contacts	Notes	Attachment	Ad
	Start Date	End Date	Rate	Fee Rate									
✗	01/01/1990	12/31/2000	1.000000	0.250000									
✗	01/01/2001	12/31/2019	2.000000	0.250000									
✗	01/01/2020	06/30/2025	3.000000	0.250000									

Most loans will normally only have a single interest rate, but there is no limit to the number of rates that can be implemented with EnABLE.

If the loan is based upon a floating rate, then this rate is defined in a separate rate table and applied to the loan using the External Rate field and the External Rate Difference to Record the margin. The system will support an unlimited number of Indexed rates.

External Rates (Variable Rates)	(None) ▼	External Rate Difference	0.000
Invoice	(None)	<input checked="" type="radio"/> Printed/Mailed <input type="radio"/> Send None	Invoiced Through 07/10/2017
Accrual Status	5 Year Treasury	<input checked="" type="radio"/> Accruing <input type="radio"/> Cash	Accrual Status Date / /
Dual/Shadow Indicator	Dual/Shadow Date / /		

Days Per Year	a/365 ▼
Based Interest?	(None)
Interest Due Date	
Interest Frequency	30/360
Principal Due Date	30/365
Principal Frequency	
Payment Amount	30/act
Is Principal ?	
Repay Provision	a/360
Provision Date	a/365
	actual

The calculation of interest is also dependent on the Days per Year value defined for the loan and the Daily Interest is shown on the Loans General screen.

Type	Name	Drawn/Accrued	Repaid	Adjustments	Balance	Daily Amount
Loan	Principal	25,000.00	175.00	100.00	24,925.00	0.00
Loan	Interest	2,361.76	0.00	0.00	2,361.76	2.05
Loan	Rate Based Fee	276.27	0.00	25.00	301.27	0.17
Fee	Late Fee	150.00	25.00	-25.00	100.00	0.00
Fee	Application	25.00	0.00	0.00	25.00	0.00
Loan	Total Due	0.00	0.00	0.00	27,713.03	0.00

EnABLE also supports the capitalization of interest, deferments, moratoriums of payments and zero interest period calculations. Even though interest rates may be present for a loan, the interest will only be calculated when there is a Principal balance.

Fees

The Fee tab allows for the creation of unlimited Fees. Each fee requires a Fee Type and a one time or periodic amount. Receivables are created and the fees either are invoiced separately or as part of the Loan invoicing.

General	Funding	Rates	Loan Amortization	Expected Draws	Transactions	Fees	Escrow Accts	Tracking	Checklist	Compliance	Collateral
+ add new											
		Description	Charged Amount	Outstanding Balance	Frequency						
		Application \$ 25.00	\$ 25.00	\$ 25.00	One Time						
		Late Fee	\$ 150.00	\$ 100.00	One Time						

Loan Amortization Schedules

As stated in the prior section, amortizations schedules can either be calculated by the system or imported from custom or standard templates. On the screen, the system fills in the data for the loan and, when the Amortize button is pressed, the schedule is generated.

Users can play with the calculation of the schedule by changing the values and when they are satisfied with the schedule, save it to the loan as the active schedule.

Loan Amortization Maintenance

Type/Source: ☒ Anticipated ☐ Original ☐ Modification ☐ Provided ☐ Calculated

Only Amortize Remaining? ☐ Use Prior Schedule ☐

Loan Amount \$ 25,000.00 Current Balance \$ 24,925.00 Contracted Balance \$ 24,925.00

First Interest Payment Date/Frequency: / / (None) First Principal Payment Date/Frequency: / / (None)

Non Standard Frequency: 0 (number of periods to pay in a year beginning with the first principal date)

First Interest Rate/Fee Rate (ie 2.5): 3.000000 / 0.250000 # Pymts: 0 Additional Principal to be Amortized: 0.00

Second Interest Rate/Fee Rate (ie 2.5): 0.000000 / 0.000000 Second Amt: 0.00 Additional Interest to be Amortized: 0.00

Maturity Date: / /

Calculate Interest From Date: 07/10/2017

Loan Term/Amortization Term: 0 / 0

Add Interest Balance from Interest From Date: ☐

Amount of Interest to be added to first payment: \$ 0.00

Payment Based on: ☒ Loan Amount ☐ Current Balance ☐ Contracted Balance ☐ Prior Amount ☐ Entered Amount

Prior Payment Amount: \$ 0.00 Entered Amount: 0.00

Days Per Year: a/365 Fixed Principal? ☐

Amortize Payment \$ 0.00

The active schedule drives the Invoicing process and the receivables generated for the loan. These receivables are used to define when payments are due and are reduced as payments are received. They are also the primary method for tracking and reporting on Aging and Delinquency.

Payment Entry

EnABLE supports the following methods of payment entry:

- Individual Online Payments
- Online Batch Payments
- Mailroom Payment Processing
- Payment File Processing
- ACH Draws

Regardless of the method used, receipting a payment generates transactions that record the amount, the date the payment was entered, and when it was effective/received. All data related to the payment such as payment type, check or confirmation numbers and reference numbers are recorded on the financial activity generated for the transactions. Authorized users are able to view the payment transactions through the online system.

Once the transactions are created, they are entered into the system as unposted. A review process then occurs to approve the payment activity. This process follows the other approval paths that are highly customized and configurable. Once approved, the transactions are posted causing balances to be changed and the transactions are ready for the disbursement process.

EnABLE supports disbursement of funds by check, ACH and wires. The EnABLE team will work with ANRC financial staff to implement each method desired.

TechPG has reviewed the reports and documents in the requirements for this section and believe that there are existing EnABLE reports or documents that meet these needs. As part of the configuration process, the EnABLE team will review each of the EnABLE reports and documents with ANRC to determine how they can be used by ANRC and identify any areas where additional reports or documents need to be developed or modified to meet the agency's needs.

E.12 DELIVERABLE TRACKING

1. Describe how the proposed system will meet the Deliverable Tracking Requirements set forth in Section 2.17. of the RFP. The discussion may include appropriate screen shots and other descriptive materials in order to fully explain the product.

Deliverable Tracking

TechPG has reviewed each requirement contained in Section 2.17 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

EnABLE includes multiple methods to track a variety of project deliverables including:

- Data input into standard fields
- Custom fields that can be used to populate documents and customized reports
- Tracking Plans and Checklists
- Compliance Tracking and Reporting
- Dynamic Forms
- Reports
- Amendments
- Statistics
- Milestones

During system configuration effort, the EnABLE team will work with ANRC to determine the appropriate method to meet each detailed requirement defined in Section 2.17 of the RFP.

Tracking Plans provide a means to establish and monitor workflows throughout EnABLE. Tracking plans ensure that all required steps, processes, activities and timeframes are satisfied during the life of a workflow or process.

The setup of a tracking plan begins with the user determining the actions that the tracking plan should take and making sure that there is a Tracking Plan Step created for each action. The tracking plan steps are then linked together to create the Tracking Plan Template. While these templates serve as a basis for the steps to be taken, individual steps can be added or removed as needed for each situation.

Tracking plan templates are created and can be added to an EnABLE record on one or more of the following levels:

- Clients
- Awards
- Projects
- Bonds
- Loans
- Grants
- Activity Approvals
- Dynamic Forms and Responses
- Fiscal Period Close
- Programs

Loan: ADW-2310 Tracking Plan :: Test Tracking Plan-ADW-2310

General Plan Chart

Name: Test Tracking Plan-ADW-2310

Description:

Start Date: 06/01/2020

Status: Active

Manager: jurozoe

Manager:

Comment:

Added by: jurozoe

Last changed by: jurozoe

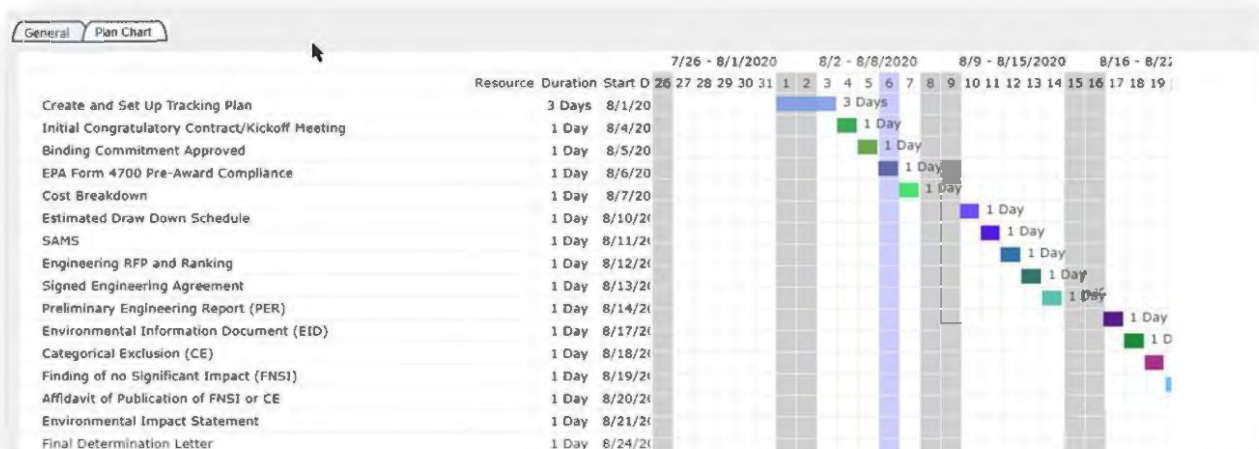
Update Delete View History

+ Add New

		Order	Number	Description	Status	Expected Start Date	Expected End Date	Start Date	End Date	Length	Attachment	Comment
		1	1	Create and Set Up Tracking Plan	Pending	06/01/2020	06/03/2020	//	//	1		Create and Set Up Tracking Plan
		2	2	Initial Congratulatory Contract/Kickoff Meeting	Pending	06/04/2020	06/04/2020	//	//	1		Initial Congratulatory Contract/Kickoff Meeting
		3	3	Binding Commitment Approved	Pending	06/05/2020	06/05/2020	//	//	1		Binding Commitment Approved
		4	4	EPA Form 4700 Pre-Award Compliance	Pending	06/06/2020	06/06/2020	//	//	1		EPA Form 4700 Pre-Award Compliance
		5	5	Cost Breakdown	Pending	06/07/2020	06/07/2020	//	//	1		Cost Breakdown
		6	6	Estimated Draw Down Schedule	Pending	06/10/2020	06/10/2020	//	//	1		Estimated Draw Down Schedule
		7	7	SAMS	Pending	06/11/2020	06/11/2020	//	//	1		SAMS
		8	8	Engineering RFP and Ranking	Pending	06/12/2020	06/12/2020	//	//	1		Engineering RFP and Ranking
		9	9	Signed Engineering Agreement	Pending	06/13/2020	06/13/2020	//	//	1		Signed Engineering Agreement
		10	10	Preliminary Engineering Report (PER)	Pending	06/14/2020	06/14/2020	//	//	1		Preliminary Engineering Report (PER)
		11	11	Environmental Information Document (EID)	Pending	06/17/2020	06/17/2020	//	//	1		Environmental Information Document (EID)
		12	12	Categorical Exclusion (CE)	Pending	06/18/2020	06/18/2020	//	//	1		Categorical Exclusion (CE)
		13	13	Finding of no Significant Impact (FNSI)	Pending	06/19/2020	06/19/2020	//	//	1		Finding of no Significant Impact (FNSI)
		14	14	Affidavit of Publication of FNSI or CE	Pending	06/20/2020	06/20/2020	//	//	1		Affidavit of Publication of FNSI or CE
		15	15	Environmental Impact Statement	Pending	06/21/2020	06/21/2020	//	//	1		Environmental Impact Statement
		16	16	Final Determination Letter	Pending	06/24/2020	06/24/2020	//	//	1		Final Determination Letter

Tracking plans are customized at the record level to include the order of steps, dependencies to determine if specific steps must be completed before another step can begin, notifications to users when a step is ready to begin, and tasks assigned to specific users for them to complete. EnABLE can also be customized to have the completion of a tracking plan as a requirement before other system actions can be completed, such as loan closings or draw requests. Notifications can also be set up to alert users when certain deliverables need approval or when they have reached a defined status.

Each instance of a tracking plan is assigned to a manager who is responsible for monitoring the progression of the plan and has authority to reassign steps as needed to ensure that the work flow is progressing. A Gantt chart is also provided to visually show the progress of the execution of the tracking plan. All steps in a tracking plan must be accomplished before the plan can be marked as completed.






Less robust than tracking plans, Checklists provide a pre-defined set of steps to track and record the completion of activities associated with a project. Checklists are created by developing Checklist Items that can be put into a Checklist Template. After a template is created, it can be added to and used on many different modules within EnABLE. Checklists are often used within a tracking plan as a more task-oriented list of actions to take that, as a whole, can complete a step in the tracking plan. Unlike tracking plans, a manager is not assigned to the Checklist and not all steps must be completed.

Compliance Tracking is another feature of EnABLE that allows the tracking of numerous types of deliverables applicable to projects, loans and grants. Compliance items provide the ability to track client-submitted information that is required to meet a program's or loan's covenants, deliverables or terms of participation. Compliance items may be recorded at the Client, Project, Loan or Bond level, depending on the type of information required. Compliance items include the ability to send numerous reminder notifications to the client and create task items to facilitate the completion process, as well as an approval process to accept or reject a submitted item. There are also standard EnABLE reports that track compliance item due and overdue dates as well as completion status.

Client : Ocean State

General	Organization	Project	ACH/Wire	Activity	Districts	Compliance	Staff	Related Contacts	Notes	Attachments	Additional Attributes	Ratings	Bond
+ add new													
				Description	Init. Due Date	Frequency	Last Due Date	Add User					
				Annual Budget	06/30/2020	Annual	06/30/2025	jkerozos					
				Single Audit	08/15/2020	One-Time	08/15/2020	LRose					
				Debt Service Schedule	08/16/2020	One-Time	08/16/2020	LRose					
				Operating Revenues and Expenses	08/16/2020	Annual	08/16/2027	LRose					
				Financial Statements	08/22/2020	One-Time	08/22/2020	LRose					
				Tax Compliance Certificate	08/22/2020	One-Time	08/22/2020	LRose					
				Tax Compliance Certificate	09/06/2020	One-Time	09/06/2020	LRose					

Client : Ocean State Compliance :: 06/30/2020 - Annual Budget

General		Compliance History									
		History ID	Due Date	Status	Period Start Date	Period End Date	Comment	Submitted Name	Date	Approved Name	Approved Date
	<input checked="" type="checkbox"/>	1	06/30/2020	Complete	//	//	Initial Resubmit	jkerozos	06/23/2020	jkerozos	06/23/2020
	<input checked="" type="checkbox"/>	2	06/30/2021	Due	//	//			//		//
	<input checked="" type="checkbox"/>	3	06/30/2022	Future	//	//			//		//

Operating Budget -- 15 Day Reminder

To: Joan Karozos

This message was sent with High importance.

Sample Compliance Item Due Email

Good Day,

As a friendly reminder, your Annual **Operating Budget** for the upcoming fiscal year is due to the Bank in 15 days.

To address the open compliance item, please log into EnABLE to submit your Annual **Operating Budget** as required by the loan agreement.

If you have any questions, please do not hesitate to contact me.

Thank you for your cooperation,

Dynamic Forms are another type of EnABLE functionality that can be used to track and auto-populate deliverable information into the system. Often used for clients to submit loan and/or grant applications, dynamic forms are tools for authorized users to create customized online questionnaires into which clients can enter data and that data can be used to populate records in EnABLE, create documents and reports, and develop rankings for proposed projects. Dynamic form responses can automatically trigger an approval process both to internal and partner (other agencies) users and includes the ability to automatically create a project, loan and grant record in EnABLE as part of the review process.

Document Generation serves as an easy way for users to create customized documents that contain both pre-defined text and dynamic information from data maintained in EnABLE. Customized documents created in EnABLE are best utilized for correspondence that contains data maintained in records throughout the system; if the data is being stored in EnABLE, it can be merged into documents that can be used to track a variety of project deliverable information.

Another method to view and report on deliverables is through EnABLE's Report functionality. Both standard system reports and customizable dynamic reporting can be used to display and communicate deliverable data that includes target and completion dates, amounts (balances, accruals, forecasts, etc.), statuses, and custom fields (defined as Additional Attributes in EnABLE).

Three other areas that deliverable data can be tracked—and subsequently reported on—in EnABLE are Amendments, Statistics, and Milestones. The Amendment tab allows authorized users to initiate and track the actions related to requested modifications to Projects and Loans. Examples of amendment types are collateral modifications, financial, performance, and promissory note changes. The types are configurable according to ANRC business rules.

The Statistics tab displays information used to further identify or categorize data about Organizations and Clients. Usually external types of information, statistic such as disadvantaged entity status, labor data, median income, and water data are often recorded in this area. External statistics types are configurable according to ANRC business rules.

The Milestones tab provides a means to establish specific milestones for projects. Examples of typical milestone items include application data such as date submitted, date

approved, amendment dates, priority list dates and closing dates. Milestone items are also configurable according to ANRC business rules.

E.13 WORKFLOW PROCESSING

1. Describe how the proposed system will meet the Workflow Processing Requirements set forth in Section 2.18. of the RFP. The discussion may include appropriate screen shots and other descriptive materials in order to fully explain the product.

Workflow Processing

TechPG has reviewed each requirement contained in Section 2.18 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

Many of the functions used to support Deliverable Tracking also support Workflow Processing. Tracking plans and checklists are excellent tools to support defining actions that must be taken and tracking each step in the process, but Activity Approvals are another tool in the EnABLE toolbox to support Workflow Processing. Supporting the tracking plans and activity approvals are Tasks and Notifications to individual users or user groups to communicate and move the processes through their established flows.

Activity approvals are created to provide a multi-step review and approval process for financial and other processes such as draw requests, automated adjustments, dynamic form responses or applications. Activity approval workflows can be defined for specific activities such as a submission of a draw request and within each activity, unique approval flows can be defined for each combination of Programs, Project Types, and Loan Types.



Activity approvals consist of a set of Task Items that are linked together into an approval flow based upon the actions taken by a user (Approvals or Rejections). The initiation of an Activity approval workflow is triggered not only automatically by specific actions taken (such as submission of a draw request), but also by user defined criteria. The setup of an Activity Approval begins with the user determining the actions that the approval path should take and making sure that there is a Task Item created for each action. The task items are then linked together based upon whether the approver Accepts or Rejects each action. Each step in the approval flow creates a task and sends an email notification to the appropriate users. Due date lead times are created within the Task Item setup to support absolute date workflows. TechPG's technical team will work with ANRC staff to implement integration of the tasks with Microsoft Exchange.

Tracking plans also provide a means to establish and monitor workflows throughout EnABLE. Tracking plans ensure that all required steps, processes, activities and timeframes are satisfied during the life of a workflow or process.

Initial Task

Type: Draw Request

Initial Task: CW-DW Draw Request Needing Review

Select the criteria for the Draw Request Approval - Leaving empty will apply for all Approvals

Program: (None)

Borrower Type: (None)

Project Type: Drinking Water

Loan Type: (None) Only valid for Loan Based Draw Requests

Grant Type: (None) Only valid for Grant Based Draw Requests

Added by: Administrator on: 02/03/15 08:25 AM

Last changed by: Administrator on: 02/18/15 10:48 AM

Item

Task	Description	Approval Task	Reject Task
CW-DW Draw Request Needing Review	Initial DR Received for Review by Engineering	Draw Request, Awaiting Approval	Resubmit Draw Request
Draw Request, Awaiting Approval	DR Approved by Engineering, Sent to Fiscal Management for Approval	Pending Disbursement, Assign Funding	CW-DW Draw Request Needing Review
Pending Disbursement, Assign Funding	DR Approved by Fiscal Management, Sent to Funding Source Assignment	Final Approval Draw Request	Draw Request, Awaiting Approval
Final Approval Draw Request	Funding Sources Assigned, Sent to Final Approval	(None)	Pending Disbursement, Assign Funding
Resubmit Draw Request	Resubmitted DR Received for Review by Engineering	CW-DW Draw Request Needing Review	(None)

The setup of a tracking plan begins with the user determining the actions that the tracking plan should take and making sure that there is a tracking plan step created for each action. The tracking plan steps are then linked together to create the tracking plan template.

Tracking plan templates are created and can be added to an EnABLE record on one or more of the following levels:

- Clients
- Awards
- Projects
- Bonds
- Loans
- Grants
- Activity Approvals
- Dynamic Forms and Responses
- Fiscal Period Close
- Programs

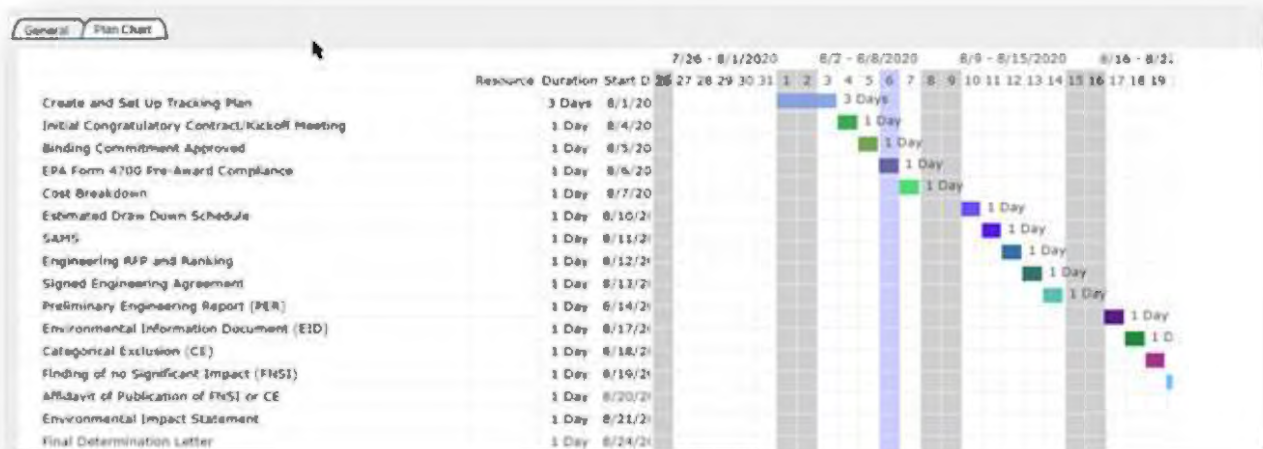
Loan: ADW-210 Tracking Plan :: Step Tracking: Financial Close

Order Number Description Status Expected Start Date Expected End Date Start Date End Date Length Attachment Comment

1	1	Create and Set Up Tracking Plan	Pending	08/01/2020	08/03/2020	11	11	1		Create and Set Up Tracking Plan
2	2	Initial Consultative Contract Kickoff Meeting	Pending	08/04/2020	08/04/2020	11	11	1		Initial Consultative Contract Kickoff Meeting
3	3	Bidding Commitment Approval	Pending	08/05/2020	08/05/2020	11	11	1		Bidding Commitment Approval
4	4	EPA Form 4700 Pre-Award Compliance	Pending	08/06/2020	08/06/2020	11	11	1		EPA Form 4700 Pre-Award Compliance
5	5	Cost Breakdown	Pending	08/07/2020	08/07/2020	11	11	1		Cost Breakdown
6	6	Estimated Draw Down Schedule	Pending	08/08/2020	08/08/2020	11	11	1		Estimated Draw Down Schedule
7	7	SAMS	Pending	08/11/2020	08/11/2020	11	11	1		SAMS
8	8	Engineering RFP and Ranking	Pending	08/12/2020	08/12/2020	11	11	1		Engineering RFP and Ranking
9	9	Signed Engineering Agreement	Pending	08/13/2020	08/13/2020	11	11	1		Signed Engineering Agreement
10	10	Preliminary Engineering Report (PER)	Pending	08/14/2020	08/14/2020	11	11	1		Preliminary Engineering Report (PER)
11	11	Environmental Information Document (EID)	Pending	08/17/2020	08/17/2020	11	11	1		Environmental Information Document (EID)
12	12	Categorical Exclusion (CE)	Pending	08/18/2020	08/18/2020	11	11	1		Categorical Exclusion (CE)
13	13	Finding of no Significant Impact (FNSI)	Pending	08/19/2020	08/19/2020	11	11	1		Finding of no Significant Impact (FNSI)
14	14	Approval of Publication of FNSI or CE	Pending	08/09/2020	08/09/2020	11	11	1		Approval of Publication of FNSI or CE
15	15	Environmental Impact Statement	Pending	08/21/2020	08/21/2020	11	11	1		Environmental Impact Statement
16	16	Final Determination Letter	Pending	08/24/2020	08/24/2020	11	11	1		Final Determination Letter

Tracking plans are customized at the record level to include the order of steps, dependencies to determine if specific steps must be completed before another step can begin, notifications to users when a step is ready to begin, and tasks assigned to specific users for them to complete. EnABLE can also be customized to have the completion of a tracking plan as a requirement before other system actions can be completed, such as loan closings or draw requests. Notifications can also be set up to alert users when certain deliverables need approval or when they have reached a defined status.

Tracking Plans also include the creation of a Gantt chart to view and report on the status of a special plan:



Less robust than tracking plans, Checklists provide a pre-defined set of steps to track and record the completion of activities associated with a project. Checklists are created by developing Checklist Items that can be put into a Checklist Template. After a template is created, it can be added to and used on many different modules within EnABLE. Checklists are often used within a tracking plan as a more task-oriented list of actions to take that as a whole can complete a step in the tracking plan.

As with deliverable tracking, another method to support workflow processing is through EnABLE's report generation. Both standard system reports and customizable dynamic reporting can be used to display and communicate workflow data that includes target and completion dates, amounts (balances, accruals, forecasts, etc.), statuses, and custom fields (defined as Additional Attributes in EnABLE). The online screens also support the ability to define filters so that specific data can be viewed as needed.

As described in Section E.5, User Roles and Access, above, the Security module is a role-based system; roles are created that contain any number of functionalities and can be configured in order to customize the views for tasks or loans assigned to individual users or roles. As presented above, functionalities allow a role to access a screen, menu item, data tab, report, field, etc. and may be limited to any combination of add, view, update or delete functions on that screen.

E.14 REPORTING

1. Describe the ability of the proposed system to produce the reports currently utilized by ANRC as described in Section 2.19. of the RFP.
2. Describe the number and types of canned reports available in the system out of the box.
3. Describe the Ad-Hoc reporting capabilities of the proposed system and how they meet the requirements set forth in Section 2.19 of the RFP.

Reporting

TechPG has reviewed each requirement contained in Section 2.19 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

E.14.1., E.14.2. and E.14.3.

EnABLE is operational in a dozen state agencies who all have common and unique reporting requirements. Through the different reporting options implemented in EnABLE, each agency's needs have been met and, then, extended as programs change or new program are added.

There are three basic reporting tools integrated into EnABLE:

- Standard reports provide approximately 75 fixed reports containing standard data most agencies require. These reports offer basic program and financial reporting with parameters to filter the data to the users' needs. They can be exported as PDF and Excel files.
- EnABLE also includes more than 100 Microsoft SQL Server Reporting Services (SSRS) based reports that can be modified or used as the base to create new reports. These reports can be exported into multiple formats. SSRS also offers Ad-Hoc abilities through the Report Builder tool.
- The newest EnABLE reporting option is an Ad-Hoc Business Intelligence tool based on OLAP Cubes allowing for integrating EnABLE data with different data sources like web services, APIs, etc. to generate charts, graphs and dashboards and the ability to easily create data profiling and trend analysis of the data.

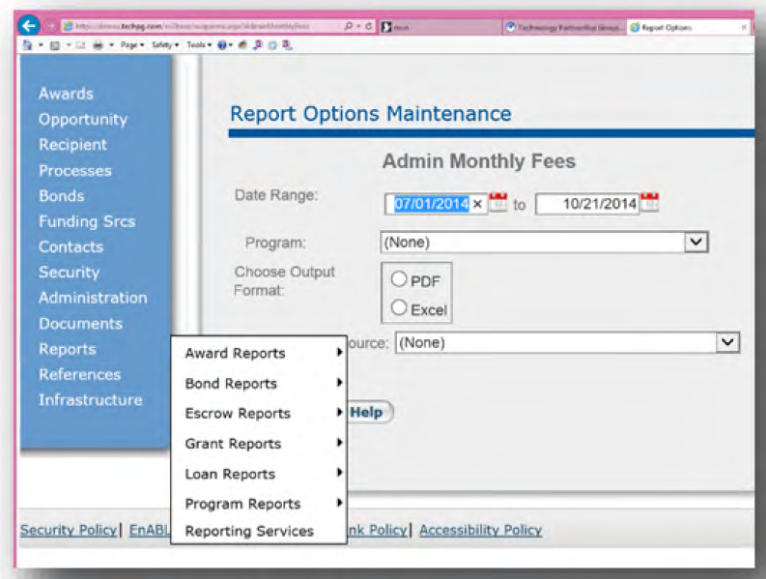
For all reporting options, all system data is available for inclusion including user-defined fields and data entered on applications. All reports also support parameters that can be used to filter the data on fields like programs, statuses and by data ranges. EnABLE also

contains the ability to schedule and automatically execute the SSRS reports and distribute them to individuals or groups.

As part of the configuration process, the EnABLE team will review each of the EnABLE reports with ANRC to determine how they can be used by ANRC and identify any areas where additional reports are needed to meet the agency's needs.

Standard Reports

The solution handles many calculation-heavy reports, such as sufficiency calculations, with an internal report generator which is integrated into the system. A user selects a report by title and is prompted for additional information on a report parameter screen. The system then generates a report in a new window. These reports are available in PDF and Excel formats and may be further manipulated, copied, emailed, printed or stored as needed. Adobe PDF and Excel programs also support the ability to add comments to created reports. These commented reports may then be attached to records in the system as needed.



Excel View:

EDA Disbursement Log by Program From: 07/01/2007 To: 06/30/2015										
Trans. Date	Borrower	Project #	Req. #	State	Federal	Revolving	Other	Loan	Grant	Total
Program: Business Expansion and Retention Investm										
02/06/2014	Printpack, Inc.	21505			0.00	0.00	0.00	358,520.00	\$ 358,520.00	0.00
					0.00	0.00	0.00	358,520.00	358,520.00	0.00
Program: Capacity Building										

PDF View:

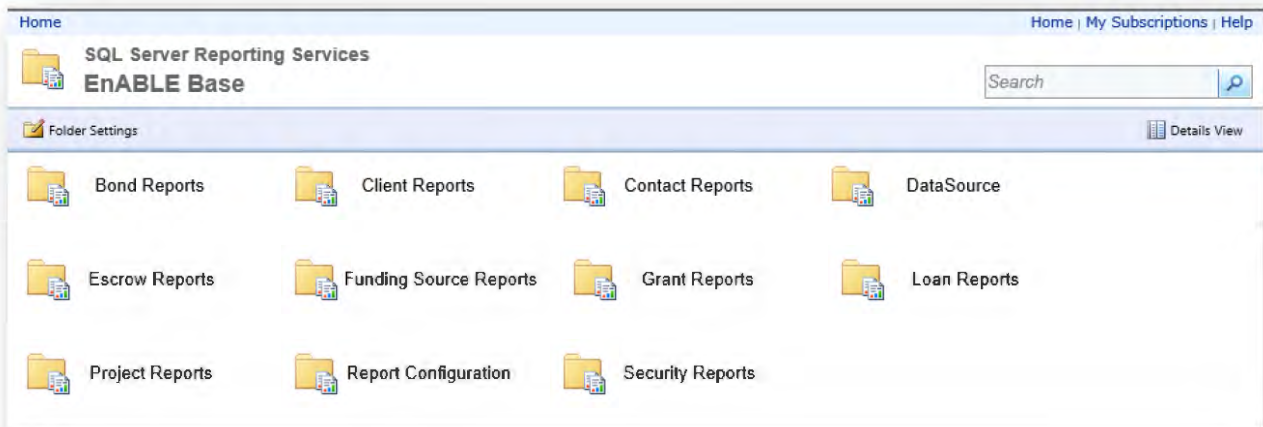
EDA								Date: 10/21/14		
Disbursement Log by Program								Time: 01:44:47 P		
From: 07/01/2007 To: 06/30/2015										
Trans. Date	Borrower	Project #	Req #	State	Federal	Revolving	Other	Loan	Grant	Total
Program: Business Expansion and Retention Investm										
02/06/2014	Printpack, Inc.	21505		0.00	0.00	0.00	358,520.00	\$ 358,520.00	0.00	\$ 358,520.00
				0.00	0.00	0.00	358,520.00	358,520.00	0.00	\$ 358,520.00
Program: Capacity Building										
12/27/2013	Racine County Economic Deve	21876		0.00	0.00	0.00	18,646.00	\$ 0.00	18,646.00	\$ 18,646.00
02/14/2014	Racine County Economic Deve	21876		0.00	0.00	0.00	6,354.00	\$ 0.00	6,354.00	\$ 6,354.00
				0.00	0.00	0.00	25,000.00	0.00	25,000.00	\$ 25,000.00

Microsoft's SQL Server Reporting Services (SSRS)

In addition to the standard reports, EnABLE utilizes Microsoft's SQL Server Reporting Services (SSRS) for the majority of the reporting needs. SSRS reports are available through the reporting services menu option. The reports may be exported in the following formats.

- CSV File
- Microsoft Excel
- Microsoft Word
- HTML web page
- Image Files
- PDF File
- XML File

Additionally, users may duplicate existing SSRS reports and modify them using SSRS's Report Builder tool. The modified reports may be saved back to the server for use by other users without overwriting the original report. Using the Report Builder tool, any of the data can be exported and the export definition can be saved for future executions.



Loans By Borrower						
For the Date: 5/22/2014						
Borrower	Program	Loan	Loan Amount	Drawn	Remaining	Principal Balance
Bettendorf Economic Finance Authority	CW Direct Loans	BEFA 2011 CW-WW 1	\$2,000,000.00	\$1,100,000.00	\$900,000.00	\$1,050,000.00
	CW Direct Loans	BEFA CSO 2009 2	\$2,000,000.00	\$2,500,000.00	(\$500,000.00)	\$2,180,000.00
	State Drinking Water Loans	BEFA DW 2010 2 Direct	\$125,000.00	\$50,000.00	\$75,000.00	\$50,000.00
	VARF Direct Loans	BEFA CSO 2009 1	\$1,000,000.00	\$947,777.00	\$52,223.00	\$947,777.00
Total			\$5,125,000.00	\$4,597,777.00	\$527,223.00	\$4,227,777.00
Bloomington Finance Authority	CW Direct Loans	2011 CW-119-1	\$1,000,000.00	\$710,040.00	\$289,960.00	\$705,040.00
Total			\$1,000,000.00	\$710,040.00	\$289,960.00	\$705,040.00
Bravo Economic Development	CW Direct Loans	BEDC 2010 CW 117-1	\$1,000,000.00	\$1,000,000.00	\$0.00	\$1,000,000.00

SSRS is also utilized for ad-hoc and custom reporting. Users may generate ad-hoc queries using the query builder functionality available in SSRS. A full suite of report generation tools allows for reports that utilize conditional formatting, pivot tables, drilling down and collapsible columns and rows, graphics, gauges, and other advanced features.

English Based OLAP Queries

EnABLE provides the ability for users to enter English language queries to retrieve data for Ad-Hoc reporting. This functionality is based on creating Business Intelligence OLAP Cubes that provide the user with the ability to enter queries like “How many new Drinking Water loans were closed last week” or “What clients are from Benton county?”

The results can be displayed as graphs, charts, maps and several other options. These Ad-Hoc queries can then be saved, shared with others, or incorporated into dashboards.

The following are some of the reports currently supported in the system.

Internally-Generated System Reports

Report Name	Module	Description
Award Detail By Program	Award	Displays award details with award amount, lapse amount, and remaining amount with totals by program
Bond Debt Schedule	Bond	Calculates principal, interest, and modifications for a bond as of a given date range with grand totals
Bond Debt Schedule For Type	Bond	Loops through and displays bond schedule with principal, coupon, interest, modifications, and totals with subtotals
Bond Recap	Bond	Organizes bond data in a columnar easy-to-read way, including issue size, interest rate, maturity date, and ratings grouped by Bond Series Name.
Collectible Loans Allowances for Doubtful Accounts	Loan	Displays current balance of a loan with adjustments and allowances for a total allowance amount with program totals and grand totals
Contracted Disbursements Remaining	Loan	Calculates disbursements remaining on a loan, for an individual program or all programs as of a given date with program subtotals and grand totals. This report is grouped and sorted by program.

Report Name	Module	Description
CWSRF Project Priority List	Project	Displays project points and priority based off of the PPL report
Debt Service Requirements	Bond	Displays bond payments (Principal + Interest +- Modifications) required by year including principal and interest with Program totals and Grand totals. Report provides the amounts based on the as of date entered plus one year through as far out as data exists in system. Report is grouped by Program.
Debt Service Schedule	Bond	Displays the schedule for a bond with dates and totals including modifications with subtotals and grand totals
DWSRF Project Priority List	Project	Displays project points and priority based off of the PPL report
Escrow Bond Balance by Date	Bond	Displays the escrow balance of a bond by a single program or all programs
Escrow Loan Balance By Date	Loan	Displays the escrow balance of a loan by a single program or all programs
Escrow Project Balances	Project	Displays the escrow balance of a project
Estimated Loss Allowance	Loan	Calculates current balances and loss percentages for an individual program or all programs with totals
Financial Loan Summary	Loan	Calculates outstanding principal and contracted balance for an individual program or all programs with totals and grand totals
Financial Services Outstanding Loan Report	Loan	Calculates principal outstanding and contract balances for loans based off of the interest rate associated with the loan, includes subtotals and grand totals
Fiscal Year Balance Summary	Loan	Displays disbursements, repayments, and adjustments with a starting and ending balance for a date range and by program

Report Name	Module	Description
Forgivable Loans Allowances for Doubtful Accounts	Loan	Displays current balance of a loan with calculations and allowances for a total allowance amount with program totals and grand totals
Grant By Authority	Grant	Gives the project information for a program based off the authority chosen with program totals and grand totals
Grants By Program	Grant	Displays grant data as of a given date, for a program with totals. This report is grouped and sorted by program.
Loan Account Statement	Loan	Calculates Principal, Interest, Fees based on draws, interest/fees, repayments/adjustments from the beginning of the date range to the end of the date range. Also shows account activities and balance due.
Loan Account Summary Statement	Loan	The version of the Loan Account Statement that can be used for Audit purposes.
Loan Amortization Report	Loan	Standard Amortization Report. Displays a list of the principal, interest, and fees amounts due and the dates they are due for each loan in the system. Report also provides the Interest Rate, Fee Rate, any disbursements made, the current balance, and the contracted balance.
Loan Balance Audit	Loan	Calculates the difference between a starting and ending balance based on disbursements, repayments, adjustments also includes final loan balance for a date range
Loan Capitalized Interest	Loan	Calculates the Capitalized Interest amount for a loan as of a given date with program totals and grand totals
Loan Disbursements Remaining	Loan	Calculates total loan disbursements remaining with descriptions and loan amounts for a total amount due

Report Name	Module	Description
Loan Receivables	Loan	Displays loan information based off of a project with calculations for write-offs, principal adjustments, and interest rate, includes program totals
Loan Receivables by Authority	Loan	Includes project name, project number, loan number, loan closing date, maturity date, loan amount, draws to date, unexpended amount, principal repaid, principal balance, forgiveness/write off, adjustments to principal, adjusted balance, interest rate, interest start date, interest balance, fee rate, fees due to date, fees paid, fee adjustments and fees balance. Select As of Date, Program and Output Format to display all loan activity as of the selected date. This report is grouped and sorted by project.
Loan Repayments	Loan	Calculates Principal, Interest, and Fees for loan and display each transaction amount and effective for a given date range
Loans By Program	Loan	Calculates balance due, with a total based on principal, interest, and fees. With program totals and grand totals
Admin Monthly Fees	Loan	Calculates monthly admin fees associated with a loan for an individual program or all programs within a given date range with subtotals and grand totals
Paying Agent Report	Bond	Displays paying agents with amounts and recurring numbers with a total amount
Program Disbursement Report	Loan or Grant	Display transaction with a reference number and transaction date for a loan with project numbers and program totals for a given date range
Project Disbursements By Program	Project	Displays transaction total broken out by Federal, State, Revolving, other, loan and grant

Report Name	Module	Description
		with program total and grand totals for a given date range
Projected Administration Fees By Program	Loan	Displays Final Maturity, Fees Paid to Date, Projected Receipts and total paid plus projected for a loan with program totals and grand totals
Projected Principal and Interest	Loan	Calculates a total debt based on prior payments and projected payments of principal and interest with program totals and grand totals
Record Of Advance	Project	ROA including dates and amounts of requests with expected draws and totals
Roll Forward	Funding Source	Displays principal and interest data broken down by program including program subtotals and grand total
Statement By Pool	Bond	Displays a detailed balance sheet for the selected Pool
Statement By Pool All	Bond	Displays a detailed balance sheet for all Pools combined into a single report
Statement By Pool By Group	Bond	Displays a detailed balance sheet for the Pools in a Group combined into a single report
Statement of Account	Bond	Displays a detailed balance sheet for a single Bond or Subaccount
Status of Accounts	Bond	Displays account status with balances and total amounts calculated by surplus, deficiency, and requirements
Summary of Loan Administration Activities	Loan	Displays loan activity including contracted, amended, forgiven, written off, and referred loan counts with totals and grand totals
Three Year Loan Balance Comparison	Loan	Displays a three-year comparison of a loan with program totals and grand totals
Transactions By Reference Number	Funding Source	Displays transactions associated with a funding source including type, source, date of transactions, and transaction descriptions with

Report Name	Module	Description
		subtotals and grand totals. This report is grouped by Funding Source.
Unbalanced Awards	Award	Calculates remaining budgets for funding sources by program with a total

SQL Server Reporting Services (SSRS) System Reports

Report Name	Module	Description
Accounting Codes	Account Management	A report that displays the latest information for the Accounting Codes in the system
Aging Receivables	Account Management	A report that displays all receivables and the date they were due along with the amount that was due, and the number of days past due. Report separates the receivables into principal, interest, or fees per loan. Report provides a total for each client
Aging Receivables by Program	Account Management	A report that breaks down the past due receivables into either 30, 60, 90, or 120 days late and the total amount of the receivable remaining and groups them together into a program. The report also provides a count of the number of loans that have aging receivables within that program. A more high-level receivable report
Aging Receivables Grouped by Date	Account Management	A report that is Grouped by the number of days past due. Report displays the receivable amount remaining based off the receivable due date. Report also provides a principal balance for the loan as of the due date.
Applications in Review by Activity Approval	Account Management	A report that lists information on Applications that are in Review
Applications in Review by Contact Role	Account Management	A report that lists information on Applications that are in Review but based off the contact role

Report Name	Module	Description
Compliance Items	Account Management	A report that displays any compliance items that are attached at the client, project, loan, grant, or award level with a status of "Due" and how many days until it is due. This report doesn't show any items that are past due. Report also provides a count of due items per client
Current Receivables	Account Management	This report displays receivables that have been entered into the system but they are less than 30 days overdue
Client Statement	Account Management	Report provides account activity on a given client for a date range. This report is similar to the Loan Account statement.
Expected Loan Repayments	Account Management	A report that displays the expected repayments made to principal, Interest, and Fees over a date range for a loan. The repayments and repayment dates are based on the loan's amortization schedule. Report contains Program Subtotals, and a Grand Total for all programs
Loan Repayment Projection by Year	Account Management	A report that displays the total amount of principal, interest, and fees paid within a program by year. Report has collapsing on Program to allow viewer to expand the Program to see the total for each loan in the program. Provides a Program total and a Yearly grand total. The amounts are based on the loan amortization schedules for the loans
Paid in Full Report	Account Management	A report that displays the Client Name, Loan Number, Loan Status, Loan Original Amount, and Principal Balance for any loans that have a \$0 principal balance of a date. Loan Status should be paid off, and the Principal balance should always be \$0
Past Due Compliance Items	Account Management	A report that displays any compliance items that are attached at the client, project, loan,

Report Name	Module	Description
		grant, or award level with a status of "Due" and whether the item is 30, 60, 90, or 120 + days past due. Report also provides a count of past due items per client
Prior Period Report	Account Management	A report that lists transactions that were posted or changed and may affect monthly balancing. A person has the ability to change the effective date of a transaction to a different date after balancing has been done. This report will catch those transactions.
Cash Received	Account Management	A report that displays the repayments paid and how the repayment was broken up (principal, interest, fees). Report displays the client, loan number, program and the loan status for loans. Report provides a Grand Total for principal, interest, fees, and total received
Unbalanced Transactions	Account Management	A report that displays transaction amounts and transaction funding amounts then displays the difference between the two. A balanced transaction should be the sum of the transaction funding amounts should equal the transaction amount
Principal Forgiveness by Program	Account Management	A report that displays principal forgiveness transactions grouped by Program. Report also displays the client the loan belongs to, the loan number, the year and quarter the transaction took place and the actual date and the amount forgiven
Loan Collections	Account Management	A report that displays the phone number for any client that is past due on their loan payment, the principal balance of the loan. The report also provides the date and amount of last payment made along with the amount of the loans outstanding receivable amount remaining. The report always provides information up to current date

Report Name	Module	Description
Unposted Disbursements	Account Management	A report that displays any disbursements that have a transaction date but no transaction effective date. Money was released but never posted
Cash Received and Disbursements for a date range by Program	Account Management	A report that displays repayments made during a chosen date range along with any disbursements made during that time frame. The repayments are broken out into principal, interest, and fees. Report also provides a principal balance on each loan, and a program total
Low Disbursement Activity	Account Management	A report that displays information on any loan that hasn't had a disbursement within the last days (that threshold could be changed).
Zero Disbursement Report	Account Management	A report that displays any account that has been approved but has had no disbursements against it always up to the current date
Fees Detail Report	Account Management	A report that lists all fees and what amount if any still needs to be paid
Fee payments after loan payments	Account Management	A report that lists any fee payments made after the loan payments posted
Financial Activity	Account Management	Listing of financial activity for a period with related transaction and receivable information
Forgiveness Report	Account Management	A report that displays information on any loan that have had a forgivable transaction tied to it, the amount allowed to be forgiven and the total amount that has been forgivable.
Approved Draw Requests	Account Management	A report that follows the draw request process from the initial draw request to the financial activity through the posting of the of the disbursement
Loan Write Off Transactions	Account Management	A report that displays all write off transactions attached to a loan over a period of time. Report provides a total by Client

Report Name	Module	Description
Transactions	Account Management	A report that lists transactions in the system grouped by the Account they are attached to. Report provides transaction type, transaction effective date, Amount, and Indicator (Principal, Interest, Fees)
Open Tasks	Account Management	A report that lists the open tasks in the system. The report lists the Description of the overall description and then the task item. Status will list whether the task is past due or coming do
Contracted Disbursements Remaining	Account Management	A report that displays the disbursements based off whether they are Federal, State, or Other funded disbursements and lists the amount remaining from each source. Report always pulls data up to the date the report is ran
Milestone Report	Account Management	A report that displays the milestone items and which level (Bond, Project, Client) they are attached to. It also provides the Milestone date and Milestone comment
Unposted Transactions	Account Management	A report that lists any transactions that have a transaction date but no transaction effective date
Bond Debt by Date and Program	Bond	A report that lists principal, interest, modification amounts and various information on a bond. Based on the Bond Debt Schedule.
Bond Balances by Program	Bond	A report that displays the bond balance for a bond grouped together by program
Bond Debt Service	Bond	A report that lists a bond series name along with the payment due dates and the principal, interest, modification amount and the coupon. Report provides a total after each bond
Bond Principal and Interest	Bond	A report that lists the different bonds in a program along with the original par amount, total Principal, total Interest paid up to a date

Report Name	Module	Description
Bond Sources and Uses	Bond	A report that lists any sources or uses attached to a Bond and the amounts of those sources or uses
Borrower Summary by Program	Client	A report that displays loan and grant information for a client within a program. The information provides the status of the loan or grant, how much money has been disbursed and how much money is left to be disbursed and a principal balance for the loans
Contacts Directory	Contacts	A report that displays all contact information in EnABLE for all contacts.
Contacts within an Organization	Contacts	A report that displays the contact information for the contacts associated to an organization. The contacts are staff members for the organization
Related Contacts by Borrower	Contacts	A report that displays the contact information for Borrowers and any related contacts to the Borrower in EnABLE, for example a Co-borrower.
Related Contacts by Project	Contacts	A report that displays all contact information for contacts associated to a project. For example, the site engineer, project manager, construction supervisor.
Repayments of Funding Source	Funding Source	A report that displays repayments made to a Funding Source. The report displays the Funding Source the repayment was made to. The Funding Source that the repayment was from, the repayment amount, the effective date of the transaction, and whether the repayment was applied to principal, interest, or fees. Report provides a Total for each funding source
Direct/Indirect Transactions for a Funding Source	Funding Source	A report that displays the funding source name, the program, and whether the transaction type is a Direct or Indirect transaction, the

Report Name	Module	Description
		transaction type, the effective date of the transaction and the amount of the transaction.
Funding Source Detail	Funding Source	A report that displays all the different direct transactions and their amounts, If no direct transaction amounts are entered in the system then the column will be hidden and sums all the indirect transactions into one category then displays the balance of the funding source. Report provides a program total and a grand total
Funding Source Disbursements by Program	Funding Source	A report that displays the disbursements, when they were disbursed, how much the disbursement was for, the account it was for and then the funding source and program the accounts are attached to
Funding Source for Loans and Grants	Funding Source	A report that displays the program, funding source, account number, account type, Client, project number, account funding, and money from the Loan and funding Source that is left to be disbursed. Report provides funding source totals
Funding Source Appropriations	Funding Source	A report that displays the funding sources by program and the amounts of the funding source that are obligated, disbursed and remaining. Report provides a program total
Funding Source Portfolio	Funding Source	A report that displays all the different Funding Sources and high-level information of the funding sources including the original amount which is the first funding transaction for that funding source. Report provides a program total and a grand total
Funding Source Available Amounts for a Date Range	Funding Source	A report that displays the amount available for a funding source as of two dates the user enters then calculates the difference between the available amounts.

Report Name	Module	Description
Disbursements by Funding Source and Client	Funding Source	This report lists disbursement transactions, the account and funding source the disbursement came from and the amount
Grant Activity by Date Range	Grant	A report that displays all Grants and any transaction amount for each transaction that effects a Grant. Draws, Adjustments, Repayables, Over Payments during the date range entered. Report displays a Grand Total
Grant Portfolio by Program	Grant	A report that displays high level information for a Grant which includes the program, the client attached to it, the grant number, the description and an original amount. Report provides a program total and a grand total
Grant Running Total	Grant	A report that displays the Grant original amount and all disbursement transaction dates and amounts then keeps a running total of those disbursements and uses those to calculate the amount remaining after each transaction.
Grant Summary	Grant	A report that displays the client and all grants associated with them and what program the grants are in along with the grant original amount, the total amount drawn, and the amount remaining left to be disbursed. Report provides a Grand Total
Interest Information by Program	Loans	A report that displays information based on the interest activity on a loan during a date range that the user enters. The report will display the Program, Client Name, Loan Number, Loan Status, Loan Type, Daily Interest Amount, the Interest paid during the date range, the interest adjustments for the date range, The interest accrued during the date range, and the Interest balance as of the end date the user enters.
Loan Activity by Date Range	Loans	A report that displays the transaction amounts for the different transaction types attached to a

Report Name	Module	Description
		loan that occurred between a start and end date. Report Provides a grand total for each transaction
Loan Amortization Schedule	Loans	A report that displays the expected repayments made to Principal, Interest, and Fees over a date range for a loan. The repayments and repayment dates are based on the loan's amortization schedule. Report contains Loan Totals, Program Subtotals, and a Grand Total. Displays information for loans with amortization schedule of Active only
Loan Transactions	Loans	A report that displays the total amount of draws, repayments, and adjustments (includes all adjustment transaction types) for loans up to the balance date. Report also lists Client Name, Loan Status, and a Principal Balance. Provides a Total by Client and a Grand Total
Loans by Borrower	Loans	A report that displays the client name all loans attached to the client. The report lists the loan number, total amount of money drawn, total amount money left to be drawn, and a principal balance. Provides a Borrower Total
Loans by Program	Loans	A report that displays the Loan Number, Loan Status, Loan Closing Date, and Original Loan Amount for all loans in a Program. Provides a Program Total and a Grand Total
New Loans	Loans	A report that displays Program, Client Name, Loan Number, Closing Date, Loan Original Amount, Principal Balance, and Collateral for any loans that closed within the date range the user enters. Provides a Program Total
Portfolio Report	Loans	A report that displays the Program, Account Manager for the loan, Loan Number, Loan Original Amount, Current Interest Rate, Loan Status, Total amount drawn, amount of money left to be disbursed, and a principal balance for

Report Name	Module	Description
		all loans. Report provides a Program total and a Grand total
Monthly Loan Balance	Loans	This report allows the user to enter a start and end date then displays all the loans grouped by client with each loan having their beginning principal balance, the amount of draws and repayments during the date range, and provides an ending balance. Report provides client totals
Loan Over View	Loans	This report displays various information for all loans in the system grouped by Client. The report allows the user to enter a date range and then it will display the beginning principal balance, all draws up to the end date, all payments (p + I) made up to end date, then the draw amount for the date range only, the principal payments made for the date range, interest payments made during the date range, principal forgiveness made during the date range and then an ending principal balance.
Total Loan Detail Report	Loans	A report that provides high level information on loans within the program that is selected for an as of date. A user may select one program or all programs, one or all loan statuses, one or all loan types.
Loan Detail Report by Funding Source	Loans	This report displays various information for all loans in the system grouped by Funding Source. The report allows the user to enter a date range and a Funding Source then it will display the beginning principal balance, all draws up to the end date, all payments (p + I) made up to end date, then the draw amount for the date range only, the principal payments made for the date range, interest payments made during the date range, principal forgiveness made during the date range and then an ending principal balance

Report Name	Module	Description
Loan Detail Report	Loans	A report that provides high level information on loans within the program that is selected for a date range. A user may select one program or all programs, one or all loan statuses, one or all loan types.
All Projects by City	Project	A report that displays project information for any projects within a chosen date, grouped by city
Loans and Grants by Project	Project	A report that displays loans and or grants attached to a project and their amounts. The report provides a total which is any loans and grants for a project added together.
Audit History	Security	A report that displays updates, deletes, inserts that occurred, which table they affected, and what changes were made, and which system user made those changes to the system
Roles and Authorizations	Security	A report that displays the different security roles and their authorizations and the users attached to each role along with the users' job titles
User List	Security	A report that lists the users in the system and their job title and the date they started and the whether the user is active or not active

E.15 AUDIT FUNCTIONALITY

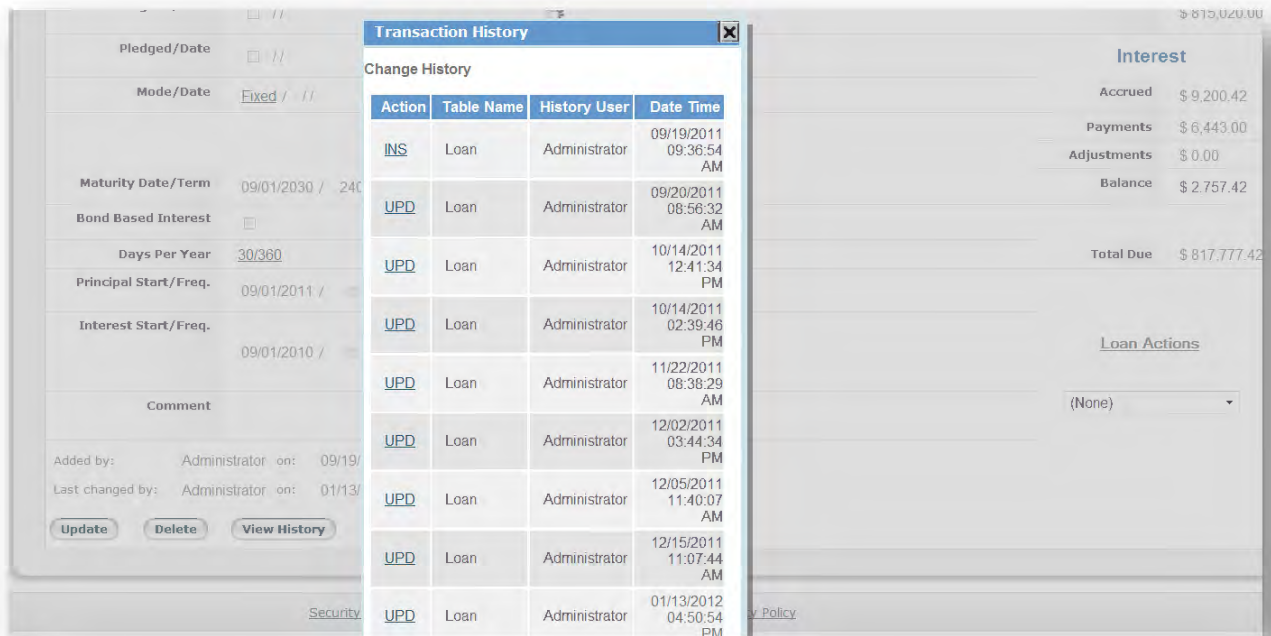
1. Describe how the proposed system meets the audit functionality requirements set forth in Section 2.20. of the RFP.

Audit Functionality

TechPG has reviewed each requirement contained in Section 2.20 and agrees to provide the requested functionality. The following information describes how EnABLE meets these requirements, but is not meant to be a direct response to each requirement item.

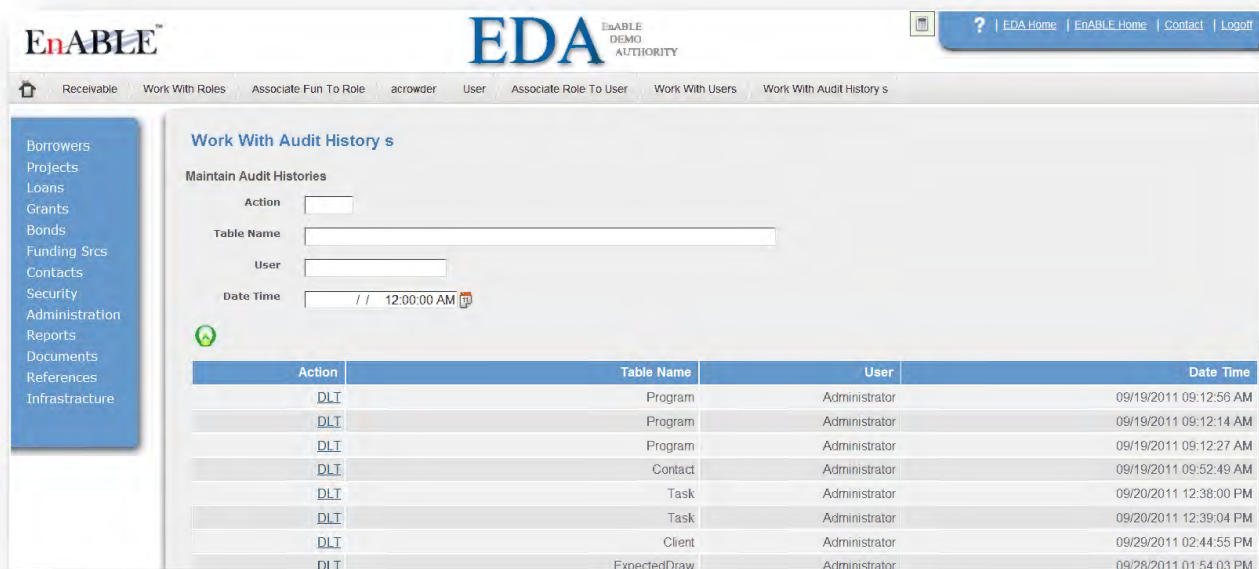
The Security module also contains robust audit history functionality. The solution tracks users' actions within the system. Every insert, delete, and update action is tracked by the

system, along with a copy of the data before and after the change.



This data can be accessed in two different ways. Every view screen in the system has a “View History” button that allows users to view a historical record of every data change that has occurred. By selecting a specific line, each field is displayed showing the data before and after the change.

This audit data can also be accessed for the entire system. Authorized users can filter for modules, action types, usernames and dates.



This allows authorized users to see exactly who did what and when or all of a certain type of activity by a user or for a timeframe. Detailed, targeted audit history reports may be generated using these filters and exported into multiple file formats.

E.16 REMOVED

Not applicable.

E.17 DATA CONVERSION

1. Describe the process by which historical data from ANRC's current system will be converted into the proposed system and available at time of Go Live as if it had been originally captured in the system.

Data Conversion

TechPG has reviewed the requirements contained in Section 2.22 and agrees to provide the requested services as part of our implementation activities.

Based upon the information provided in the RFP, TechPG anticipates utilizing EnABLE's data import spreadsheet process to convert all existing data to the new system. EnABLE has approximately 60 formatted spreadsheet templates that can be used to import a wide range of legacy data. It will be ANRC's responsibility to transfer the existing data to these formatted spreadsheet templates, with guidance and direction from the TechPG.

The EnABLE conversion team will craft the conversion approach and develop the Conversion Plan deliverable following the steps below:

- *Review Data Sources* – The conversion team will work closely with ANRC staff to identify all sources of data to be converted, including data from Mitas, Excel workbooks, the Bond database and the New Projects database. Each source will be documented and cataloged for evaluation in the conversion process and plan. Data formats, counts, and validations will be documented and sample data will be reviewed for accuracy and cleanliness.
- *Develop Conversion Process* – Once all of the data has been identified and documented, the EnABLE conversion team will begin determining what data will be used and its source. Once this has been accomplished and the configuration and customization meetings have defined what EnABLE's base data structures will contain, the existing data will be mapped to the new structures.
- *Prepare Conversion Plan* – TechPG will use the findings from the prior activities to create a formal Conversion Plan that will document the sources of data, how they are mapped into EnABLE, data dependencies and data requirements. The plan will also specify any defaults or rules that will be applied to the conversion effort. This plan will then be submitted to the ANRC team for review and approval. The conversion plan will serve as the roadmap for cleanup activities and for the creation of the conversion routines.
- *Complete Import Spreadsheets and Test and Implement Data Conversion* – ANRC and TechPG will use EnABLE's formatted import templates to prepare its legacy data for conversion to the new system. Next, the EnABLE team will test the conversion loads. The process begins by converting data for contact, organization, borrower and project records. Validation will occur against this data to ensure that it is being converted properly and works with EnABLE. Then, loan, grant, bond (if applicable) and other financial data will be converted and validated, followed by financial transactions. During User Acceptance Testing, ANRC will review and validate the converted legacy data and any identified data cleanup, corrections or changes will need to be made/applied to the conversion import templates. For production conversion, the team will rerun the conversion routines to capture the most up-to-date data and load this just prior to the "Go Live" date. Data cleanup is presumed to

be a State activity, although this service can be provided by TechPG for an additional fee.

The Enable team has successfully used this approach to convert data from multiple sources for multiple clean water and drinking water SRF clients. The EnABLE team has also successfully implemented a conversion from a Mitas-based system for the New Mexico Finance Authority and will bring this experience to the ANRC conversion effort. We are also familiar with the data necessary for the Federal Programs and have import and export spreadsheets to support this data.

E.18 STAFFING & KEY PERSONNEL

1. Provide a proposed Staffing Plan. Include key staff members required by Section 2.23 of the RFP and any additional key staff being proposed by the Contractor. Provide resumes for all key staff members. Proposed plan must at minimum meet all requirements set forth in Section 2.23 of the RFP.

Staffing and Key Personnel

TechPG has reviewed the requirements contained in Section 2.23 and agrees to provide the requested services as part of our implementation activities.

TechPG's team of proven, senior IT consultants have significant experience developing and implementing successful, web-based, enterprise-class financial systems with robust financial management functionality. The EnABLE team understand the complexities of government finance programs and the responsibility that ANRC has to its borrowers and the citizens of Arkansas. The EnABLE team will work hand-in-hand with ANRC's staff to ensure a successful EnABLE implementation.

The following table presents the roles and duties of our team members. Resumes highlighting each person's experience are included after this table.

EnABLE Staffing Plan

Resource	Role	Responsibilities
Terri Eakins	EnABLE Project Manager and Account Manager	<ul style="list-style-type: none"> • Primary liaison to the ANRC project team • Performs project planning and provides oversight • Provides status reporting to ANRC and leads project status meetings

Resource	Role	Responsibilities
		<ul style="list-style-type: none"> Develops project management deliverables Manages resources Coordinates all deliverables activities according to the project schedule Performs quality assurance review of deliverables
Jack Eakins	EnABLE System Architect	<ul style="list-style-type: none"> Primary contact related to technical architecture/ solution Directs requirements validation activities Directs software configuration effort Leads software customization, if necessary Directs data conversion activities Ensures compliance with IT policies, standards and procedures Supports ANRC during UAT Supports ANRC with training and software rollout Participates in project status meetings
Joan Karozos	EnABLE Lead Configuration Analyst	<ul style="list-style-type: none"> Leads requirements validation and software configuration activities Directs business analysts and configuration staff Captures all configuration decisions Leads the implementation of all configuration settings Performs system testing Assists with data conversion planning, analysis and preparation Validates converted data Supports ANRC during UAT Supports ANRC with training and software rollout Participates in project status meetings as needed
Michael Marine	EnABLE Senior Configuration Analyst	<ul style="list-style-type: none"> Performs requirements validation and software configuration activities Captures configuration decisions

Resource	Role	Responsibilities
		<ul style="list-style-type: none"> • Performs system testing • Authors training plan and training materials • Validates converted data • Supports ANRC during UAT • Supports ANRC with training and software rollout
Kathy Slack	EnABLE Configuration Analyst	<ul style="list-style-type: none"> • Performs software configuration activities • Performs system testing • Authors training materials • Validates converted data • Supports ANRC during UAT • Supports ANRC with software rollout
Scott Slack	EnABLE Senior Developer and Data Conversion Lead	<ul style="list-style-type: none"> • Performs software configuration and develops customizations • Leads data conversion planning, analysis and preparation • Develops data conversion routines, tests routines and imports and loads data • Assists ANRC with validation of converted data • Directs other development and conversion staff • Performs system testing • Assists ANRC during UAT
Ben Harris	EnABLE Technical Analyst and Lead Report Developer	<ul style="list-style-type: none"> • Performs software configuration and develops customizations • Leads development and testing of custom reports • Performs system testing • Assists ANRC with validation of converted data • Assists ANRC during UAT

In the event of the unavailability of the Project Manager or other key staff members, TechPG agrees to provide replacement candidates to the State for review and approval within 15 days of learning of the vacancy.

Resumes

Terri Eakins, TechPG EnABLE Project Manager and Account Manager



Ms. Terri Eakins has worked in the public sector program consulting and systems development field for more than 28 years as a project executive, project manager, systems analyst, business analyst, policy analyst, quality assurance manager, technical writer and trainer. She has significant experience designing, testing and analyzing complex, mission-critical systems and government programs, with a proven track record advising clients on important issues related to business processes and systems development

methodology. Ms. Eakins is knowledgeable of the infrastructure finance, state revolving fund, economic development, workforce development, child support, Medicaid, welfare, child welfare, child care, voter registration, and criminal justice programs, including federal program policy, system certification requirements and program operations. Ms. Eakins has developed comprehensive project documentation, system design documentation, user documentation, training programs and training materials.

Ms. Eakins is frequently called on to analyze and assess application development projects to determine project status, to evaluate the suitability of developed solutions compared to requirements, and to develop and implement recommendations and action plans to resolve project challenges and control project scope. Ms. Eakins possesses excellent oral and written communications skills and frequently facilitates meetings and application review sessions with senior management, external stakeholders, business users and developers to build consensus and bring projects to satisfactory completions.

Ms. Eakins is the CEO of Technology Partnership Group, Inc., based in Indianapolis, Indiana. She leads strategic and business development activities, oversees company operations, and provides direction to the company's product development and consulting practices.

PROFESSIONAL EXPERIENCE

Technology Partnership Group, Inc., Indianapolis, Indiana

President and CEO, November 1992 to Present

Rhode Island Infrastructure Bank, EnABLE Implementation Project

Project Director, October 2016 to June 2018, plus on-going support

- Responsible for managing the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by the Bank through its infrastructure finance programs, including the clean water and drinking water state revolving funds
- Supervised all aspects of the engagement including planning, project management and reporting, budget and resource assignments, requirements analysis and verification, application configuration and customization, system testing, technical writing, quality assurance, training, acceptance testing support, and implementation support
- Facilitated application configuration sessions and provided classroom-based training coordination and delivery and created end-user documentation

New Mexico Finance Authority, EnABLE Implementation Project

Project Director, October 2015 to Present, plus ongoing support

- Responsible for managing the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by NMFA through its infrastructure finance programs, including the clean water and drinking water state revolving funds
- Supervises all aspects of the engagement including planning, project management, project reporting, budget and resource assignments, requirements analysis and verification, application configuration and customization, system testing, technical writing, quality assurance, training, acceptance testing support, and implementation support
- Facilitated application configuration sessions and provided classroom-based training coordination and delivery and post-training support to acceptance testers and end users

New Jersey Economic Development Agency, EnABLE Implementation Project

Project Director, January 2015 to December 2019, plus ongoing support

- Responsible for managing the implementation of TechPG's EnABLE solution to track, manage and report on all sources of funds, loans, grants and other incentives issued by NJEDA through its economic development finance programs, including various state revolving funds

- Supervised all aspects of the engagement including planning, project management, reporting, budget and resource assignments, requirements analysis and verification, and quality assurance
- EnABLE is integrated with Microsoft CRM for client and project information and Dynamics GP for the general ledger

Wyoming Office of State Lands and Investments, EnABLE Implementation Project
Project Director, November 2014 to 2016, plus ongoing support

- Responsible for managing the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, loans and grants issued by WY OSLI through its infrastructure finance programs, including the clean water and drinking water state revolving funds
- Supervised all aspects of the engagement including planning, project management and reporting, budget and resource assignments, requirements analysis and verification, application configuration and customization, system testing, technical writing, quality assurance, training, acceptance testing support, and implementation support
- Facilitated application configuration sessions and provided classroom-based training coordination and delivery and post-training support to acceptance testers and end users
- EnABLE is integrated with the statewide WOLFS general ledger application

Indiana Department of Correction, Total Offender Management System Project
Senior Business Analyst and Project Manager, February to June 2014

- Led multi-resource, multi-vendor team to identify current business processes and validate system requirements for the replacement of mission-critical offender management systems
- Facilitated client discovery meetings and documented current-state business processes and system requirements
- Created formal project deliverables including Software Engineering Management Plan (SEMP), Quality Assurance Plan (QAP), Training Plan, and Requirements Traceability Matrix (RTM)
- Performed project planning, project staffing, resource management, status reporting, client relationship management, and quality control reviews of project deliverable

Wisconsin Economic Development Corporation, EnABLE Implementation Project

Project Director, December 2013 to 2015, plus ongoing support

- Responsible for managing the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, loans and grants issued by WEDC through its economic development finance programs
- Supervised all aspects of the engagement including planning, project management, budget and resource assignments, requirements analysis and verification, application configuration and customization, system testing, technical writing, quality assurance, training, acceptance testing support, and implementation support
- Facilitated application configuration sessions and provided classroom-based training coordination and delivery and post-training support to acceptance testers and end users
- EnABLE is integrated with the agency's Salesforce CRM and general ledger applications

Delaware Department of Natural Resources and Environmental Control, EnABLE Implementation Project

Project Director, September 2013 to May 2016, plus ongoing support

- Responsible for managing the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by DNREC through its clean water, drinking water, and other state revolving fund programs.
- Supervised all aspects of the engagement including planning, project management, budget and resource assignments, requirements analysis and verification, application configuration and customization, system testing, technical writing, quality assurance, training, acceptance testing support, and implementation support.
- Facilitated application configuration sessions and provided classroom-based training coordination and delivery and post-training support to acceptance testers and end users.
- EnABLE is integrated with the agency's general ledger and First State Financial applications

West Virginia Municipal Bond Commission, EnABLE Implementation Project

Project Manager, September 2013 to 2015, plus ongoing support

- Responsible for managing the implementation of TechPG's EnABLE solution to track, manage and report on all fiscal activities for the general-obligation bond issues of the counties, municipalities, and school districts of the state and bond, loan and grant programs associated with the revolving fund programs of the Water Development Authority and the Infrastructure Council.
- Supervised all aspects of the engagement including planning, project management, budget and resource assignments, requirements analysis and verification, application configuration and customization, system testing, technical writing, quality assurance, training, acceptance testing support, and implementation support.
- Facilitated application configuration sessions and provided classroom-based training coordination and delivery and post-training support to acceptance testers and end users.
- EnABLE is fully integrated with WDA's EnABLE implementation and the state's general ledger

Massachusetts Development Finance Agency (MassDevelopment), EnABLE Implementation Project and CRM Replacement

Project Director, August 2013 to 2015, plus ongoing support

- Responsible for managing the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, loans and grants issued by MassDevelopment through its economic development finance programs
- Supervises all aspects of the engagement including planning, project management, budget and resource assignments, requirements analysis and verification, application configuration and customization, system testing, technical writing, quality assurance, training, acceptance testing support, and implementation support
- Facilitated application configuration sessions and provided classroom-based training coordination and delivery and post-training support to acceptance testers and end users
- EnABLE was used to replace the agency's NetSuite CRM application and integrates with the agency's general ledger system

Michigan Department of Treasury, EnABLE Implementation Project

Project Director, July 2012 to October 2013

- Responsible for managing the implementation of TechPG's EnABLE solution to track, manage and report on all sources of funds, bonds, loans and grants issued by the Department of Treasury through its state revolving fund programs.
- Supervised all aspects of the engagement including planning, project management, budget and resource assignments, requirements analysis and verification, application configuration and customization, system testing, technical writing, quality assurance, training, acceptance testing support, and implementation support.
- Facilitated application configuration sessions and provided classroom-based training coordination and delivery and post-training support to acceptance testers and end users.

West Virginia Water Development Authority, Enhanced Application for Bond and Loan Efficiency (EnABLE) Implementation

Project Director, March 2010 to 2013, plus ongoing support

- Responsible for managing the implementation of TechPG's EnABLE solution to track and manage all issued bonds, awarded grants, and issued loans of the WDA and its state revolving fund programs.
- Supervised all aspects of the engagement including project management, budget and resource assignments, requirements analysis and verification, application configuration and customization, planning, system testing, technical writing, quality assurance, training, acceptance testing support, and implementation support.
- Coordinated or supervised activities with other system developers/integrators, service providers and external stakeholders.

Indiana Department of Workforce Development, Job Matching System Implementation

Training Manager and Lead Trainer, January 2010 to December 2011, January 2008 to July 2008

- Served as the training manager and lead trainer for the implementation of Indiana's official workforce labor exchange system.
- Managed and performed training planning and research
- Developed curriculum, materials, logistical and resource coordination, knowledge transfer, train-the-trainer activities, training delivery, and problem tracking/resolution.

- Indiana Career Connect provides fast, easy and free on-line access to a complete set of employment tools, employer job postings, and resumes of job seekers via the internet or intranet at WorkOne Centers throughout the state.

Michigan Department of Treasury, Loan and Bond Management System

Project Manager and Executive Oversight, October 2007 to December 2009, plus ongoing support

- Served as the project manager and executive liaison to the Project Steering Committee for the development, implementation and on-going maintenance of a custom data management system for bond and loan processing for the Commission of Bond Finance.
- Application development utilized a prototype and rapid application development (RAD) methodology which resulted in a six-month system design, development and implementation effort that met the State's project management standards of the State Unified Information Technology Environment (SUITE) methodology, which is a derivation of the Project Management Institute's Project Management Body of Knowledge.
- The methodology integrated project management, systems engineering, process management and supporting processes to achieve CMMI Level 3 software development standards.
- The system was designed to track billions of dollars in state bonds and was implemented on a Microsoft .Net platform, utilizing WebServices in a Windows NT/2000/XP operating environment with a SQL Server database.

Additional government systems projects and roles include the following:

Indiana Statewide Voter Registration System Project, Monitoring Contract

Business Analyst, October 2003 to December 2006

South Carolina Child Support Enforcement System (SC CSES), Independent Verification and Validation Project

Project Director, August 1998 to December 2004

Indiana Family and Social Services Administration, Business Process Analysis and Accounting Procedures Project

Project Manager and Technical Writer, April 1997 to March 2000

Michigan Child Support Enforcement System (CSES) Project

Quality Assurance Manager, Business Process Analysis and Compliance Monitoring, January 1998 to June 1998

North Carolina Child Support Enforcement System (ACTS)

Technical Writer, December 1993 to August 1993

Indiana Child Support Enforcement Tracking System (ISETS) Project

Principal Systems Analyst, System Design, Testing, Training and Technical Writing, August 1992 to March 1998

Illinois Child Support Enforcement System Project

Business Analyst and Technical Writer, October 1991 to August 1992

EDUCATION AND TRAINING

Project Management Professional Certification Training, Enterprise Consulting,
Indianapolis, Indiana, 2011

Bachelor of Arts, Journalism, Concentration in Public Relations, Ohio State University,
Columbus, Ohio, 1987

PROFESSIONAL ASSOCIATIONS

Council of Infrastructure Financing Authorities (CIFA)

Council of Development Finance Agencies (CDFA)

Society of Human Resources Management, Central Indiana Chapter (IndySHRM)

Women and Hi Tech, Indiana (W&HT)

Jack Eakins, TechPG EnABLE Solution Architect

Mr. Jack Eakins is an expert computer engineer, system developer and technical manager with more than 33 years of data processing experience earned through designing and building mission-critical applications for state governments. Mr. Eakins has worked with all aspects of systems development including identifying and validating requirements, leading system design processes, developing and testing systems, training users, participating in federal certification reviews, and supporting operations. He is an expert data architect, has served in project management roles and has conducted extensive independent verification and validation (IV&V) evaluations of several extremely large applications and systems development projects. States where Mr. Eakins has played a major role in the design and development of public sector applications include Delaware, Illinois, Indiana, Iowa, Massachusetts, Michigan, Minnesota, North Carolina, New Jersey, New Mexico, Ohio, Rhode Island, Virginia, West Virginia, Wisconsin and Wyoming.

Mr. Eakins has spent the past ten years in the design, development, and implementation web-based financial systems to support governmental infrastructure finance, economic development finance, and state revolving fund programs and is an authority on complex financial system processing.

Mr. Eakins is the co-founder, Executive Vice President, and Chief Technology Officer of Technology Partnership Group, Inc., a 28-year-old Indianapolis-based, WBE-certified software development and IT consulting company. He leads development of EnABLE™, the company's commercial off-the-shelf (COTS) software product which is designed to managed the financial processing and reporting of government-issued bonds, loans, grants and other funding sources that support infrastructure finance, economic development finance, and state revolving fund programs.

WORK EXPERIENCE**Technology Partnership Group, Inc., Indianapolis, Indiana**

Executive Vice President and CTO, November 1992 to Present

Rhode Island Infrastructure Bank, EnABLE Implementation Project

Technical Director, October 2016 to June 2018, plus ongoing support

- Led the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by the Bank through its infrastructure finance programs, including the clean water and drinking water state revolving funds
- Directed all aspects of the engagement including resource management, requirements analysis and verification, application configuration and customization, interface implementation, integration with third party applications, database architecture, system testing, quality assurance, data conversion, acceptance testing support, and implementation support
- Project included designing significant enhancements to compliance functionality and development of a web-based interface for the Intacct general ledger system

New Mexico Finance Authority, EnABLE Implementation Project

Technical Director, October 2015 to Present

- Leads the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, bonds loans and grants issued by NMFA through its infrastructure finance programs, including the clean water and drinking water state revolving funds
- Directs all aspects of the engagement including resource management, requirements analysis and verification, application configuration and customization, interface implementation, integration with third party applications, database architecture, system testing, quality assurance, data conversion, acceptance testing support, and implementation support

New Jersey Economic Development Agency, EnABLE Implementation Project

Technical Director, January 2015 to December 2019, plus ongoing support

- Leads the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, loans and grants and other incentives issued by NJEDA through its economic development finance programs, including various state revolving funds.
- Directs all aspects of the engagement including resource management, requirements analysis and verification, application configuration and customization, interface implementation, integration with third party applications, database architecture, system

testing, quality assurance, data conversion, acceptance testing support, and implementation support

- EnABLE is integrated with Microsoft CRM for client and project information and Dynamics GP for the general ledger utilizing extensive web services

Wyoming Office of State Lands and Investments, EnABLE Implementation Project
Technical Director, November 2014 to 2016, plus ongoing support

- Led the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, loans and grants issued by the state finance programs.
- Directed all aspects of the engagement including resource management, requirements analysis and verification, application configuration and customization, interface implementation, integration with third party applications, database architecture, system testing, quality assurance, data conversion, acceptance testing support, and implementation support
- Significant enhancements to funding source and budget functionality to accommodate a wide variety of economic development financial instruments and to integrate with Salesforce, the agency's CRM applications, have been implemented with the WEDC release.

Wisconsin Economic Development Corporation, EnABLE Implementation Project
Technical Director, December 2013 to 2015, plus ongoing support

- Led the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, loans and grants issued by the state finance programs.
- Directed all aspects of the engagement including resource management, requirements analysis and verification, application configuration and customization, interface implementation, integration with third party applications, database architecture, system testing, quality assurance, data conversion, acceptance testing support, and implementation support
- Significant enhancements to funding source and budget functionality to accommodate a wide variety of economic development financial instruments and to integrate with Salesforce, the agency's CRM applications, have been implemented with the WEDC release.

Delaware Department of Natural Resources and Environmental Control, EnABLE Implementation Project

Technical Director, September 2013 to May 2016, plus ongoing support

- Led the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by DNREC through its clean water, drinking water and other state revolving fund programs.
- Directed all aspects of the engagement including resource management, requirements analysis and verification, application configuration and customization, interface implementation, integration with third party applications, database architecture, system testing, quality assurance, data conversion, acceptance testing support, and implementation support
- Significant enhancements to borrower application processing and robust dynamic forms module has been implemented with the DNREC release.
- EnABLE is integrated with the agency's general ledger and First State Financial applications

West Virginia Municipal Bond Commission, EnABLE Implementation Project

Project Manager, September 2013 to 2015, plus ongoing support

- Led the implementation of TechPG's EnABLE solution to track, manage and report on all fiscal activities for the general-obligation bond issues of the counties, municipalities, and school districts of the state and loan and grant programs associated with the revolving fund programs of the Water Development Authority and the Infrastructure Council.
- Directed all aspects of the engagement including resource management, requirements analysis and verification, application configuration and customization, interface implementation, integration with third party applications, database architecture, system testing, quality assurance, data conversion, acceptance testing support, and implementation support
- EnABLE is fully integrated with the WDA EnABLE implementation and the state's general ledger application

Massachusetts Development Finance Agency (MassDevelopment), EnABLE Implementation Project and CRM Replacement

Technical Director, August 2013 to 2015, plus ongoing support

- Led the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, loans and grants issued by MassDevelopment through its economic development finance programs.
- Directed all aspects of the engagement including resource management, requirements analysis and verification, application configuration and customization, interface implementation, integration with third party applications, database architecture, system testing, quality assurance, data conversion, acceptance testing support, and implementation support
- EnABLE functionality was enhanced to replace the agency's NetSuite CRM application and the system integrates with the agency's general ledger application.

Michigan Department of Treasury, EnABLE Implementation Project

Technical Director, July 2012 to October 2013

- Led the implementation of TechPG's EnABLE solution to track, manage and report on all sources of funds, bonds, loans and grants of the Department of Treasury and its state revolving fund programs
- Directed all aspects of the engagement including resource management, requirements analysis and verification, application configuration and customization, interface implementation, integration with third party applications, database architecture, system testing, quality assurance, data conversion, acceptance testing support, and implementation support
- Significant enhancements to draw processing and reporting capabilities were implemented with the DoT release

West Virginia Water Development Authority, EnABLE Implementation Project and Enterprise Application Integration

Technical Director, March 2010 to 2013

- Led the implementation of TechPG's EnABLE solution to track, manage and report on all bonds, loans and grants of the WDA and its state revolving fund programs as part of an enterprise-wide automation effort
- Performed or directed all aspects of the engagement including project management, requirements analysis and verification, use case development, application configuration and customization, database architecture, system testing, quality assurance, conversion, acceptance testing support, and implementation support

- Led all system integration efforts with other service providers, external stakeholders, and application developers/integrators including GIS, document management, and accounting solutions

Business Process Assessment Project for Indiana Department of Child Services, Child Support Commission

Technical Lead, June 2009 to December 2009

- Led the technical evaluation of the state of Indiana's child support enforcement program as part of a Business Process Assessment (BPA) initiative being conducted by Deloitte Consulting
- Interviewed state technical support groups and county IT operations leaders to determine current and future technical needs and identify planned initiatives
- Evaluated findings, formulated recommendations and created a technical operations report that identified desired functionality and presented solution options that adhere to the state's technical standards
- Performed data and cost benefit analysis for all project recommendations stemming from the BPA initiative's findings

State of Michigan, Loan and Bond Management System

Technical Director, October 2008 to December 2009, plus ongoing support

- Led the design and development of a Loan and Bond Management System (LBMS) for the State of Michigan Department of Treasury, Commission of Bond Finance to replace existing applications which no longer met the agency's needs for functionality or performance
- LBMS is a .Net/SQL web-based system that supports the tracking and management of all bonds issued by the state and the resulting loans that are made based upon these bonds
- Directed or performed the following tasks and duties: project management, requirements analysis and verification, application design using interactive system prototyping, application development, system testing, database architecture, technical writing, quality assurance, technical training, conversion, acceptance testing support, and implementation support.
- Coordinated all implementation activities with Michigan Department of Information Technology

- LBMS calculates and tracks all debt payments due for state-issued bonds and has extensive reporting and notification services. Bond data entry utilizes a wizard-based interface where data is collected in groups prior to performing bond debt calculations. Loan tracking and processing utilizes integrated email capabilities which generate detailed documents and Excel spreadsheets and automatically emails the required forms to borrowers for periodic processing. LBMS integrates with existing legacy systems for data transfers and supports ad-hoc reporting and financial approval workflows.
- Utilized Michigan's custom Project Management Methodology, which is based on tenets and processes espoused in the Project Management Body of Knowledge (PMBOK)

Three-System Development Project for Indiana Economic Development Corporation and Indiana Finance Authority

Technical Director, March 2007 to March 2008, plus ongoing support

- Led the design and development of web-based systems to replace two existing systems and one spreadsheet-based process
- Systems implemented in .Net and SQL Server 2005
- Project included assessment of current processes and system requirements
- Included conversion of all existing system data and user training
- Coordinated all implementation activities with Indiana Office of Technology

Additional government systems projects and roles include the following:

TechPG's KAURI Framework for Health and Human Services Systems

Technical Director, February 2000 to 2007

South Carolina Child Support Enforcement System (SC CSES), Independent Verification and Validation Project

Software Analyst, August 1998 to December 2004

North Carolina Child Support Enforcement System (ACTS) Project

Technical Architect, December 1993 to August 1993

Indiana Child Support Enforcement System (ISETS) Project

Technical Architect, June 1992 to April 2000

Ogden-ERC, Fairfax, Virginia

Illinois Child Support Enforcement System (FSIS)

Technical Project Manager, July 1991 to June 1992

Virginia Child Support Enforcement System (APECS)

Technical Lead, March 1991 to July 1991

Ohio Child Support Enforcement System (SETS)

Project Manager, March 1989 to March 1991

Minnesota Child Support Enforcement System (CSES)

Programmer/Analyst, August 1988 to March 1989

National Security Agency, Ft. Meade, Maryland

Software Engineer, May 1987 to August 1988

EDUCATION

Bachelor of Science, Computer Engineering, Ohio State University, Columbus Ohio, 1987

Continuing studies toward a Master of Science in Computer Science, Ohio State University, Columbus, Ohio, 1988 to 1990

PROFESSIONAL ASSOCIATIONS

Council of Infrastructure Financing Authorities (CIFA)

Council of Development Finance Agencies (CDFA)

Joan Karozos, EnABLE Lead Configuration Analyst

Ms. Joan Karozos is a talented information systems business analyst with 16 years of experience in the design, development, testing and implementation of complex financial processing applications. She serves as TechPG's Implementation Director and oversees client implementations and all business and configuration analysts for the company. She is accomplished in project

management, requirements gathering and validation, system analysis and design, large-scale system testing, technical writing, and the development and delivery of training programs. Her attention to detail and meticulous system testing ensures system quality, facilitates client acceptance and improves project outcomes.

Ms. Karozos is equally adept at business process analysis and can effectively interpret and explain complex procedures in a straightforward manner to help organizations understand core principles and reach agreement among stakeholders. Her team-oriented approach to problem solving, innovation and consensus building results in highly productive and successful projects. Her ability to effectively communicate and positively interact with everyone from front-line staff and clients through project management and senior government officials makes her an invaluable resource on complex, mission-critical information technology projects.

PROFESSIONAL EXPERIENCE**Technology Partnership Group, Inc., Indianapolis, Indiana**

EnABLE Implementation Director, March 2013 to Present

Rhode Island Infrastructure Bank, EnABLE Implementation Project

Implementation Director, October 2016 to June 2018, plus ongoing support

- Led the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by the agency for clean water, drinking water and other state revolving fund programs.
- Facilitated configuration sessions, performed business analysis, requirements validation, system configuration, application testing and developed system documentation; provided direction to EnABLE business analysts and developers

- Developed and delivered training on EnABLE functionality
- Supported client acceptance testing, data validation, and production deployment

New Mexico Finance Authority, EnABLE Implementation Project

Implementation Director, October 2015 to Present

- Leads the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by the agency for clean water, drinking water and other state revolving fund programs.
- Facilitates configuration sessions, performs business analysis, requirements validation, system configuration, application testing and develops system documentation; provides direction to EnABLE business analysts and developers
- Develops and delivers training on EnABLE functionality
- Supports client acceptance testing, data validation, and production deployment

Wyoming Office of State Lands and Investments, EnABLE Implementation Project

Senior Business Analyst, November 2014 to 2016, plus ongoing support

- Led the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, loans and grants issued by the agency for clean water, drinking water and other state revolving fund programs.
- Facilitated configuration sessions, performed business analysis, requirements validation, system configuration, application testing and developed system documentation; provided direction to EnABLE business analysts and developers
- Developed and delivered training on EnABLE functionality
- Supported client acceptance testing, data validation, and production deployment

Delaware Department of Natural Resources and Environmental Control, EnABLE Implementation Project

Senior Business Analyst, June 2014 to May 2016, plus ongoing support

- Assisted with the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, loans and grants issued by DNREC through its clean water, drinking water and other state revolving fund programs
- Performed business analysis, requirements validation, application testing and developed system documentation
- Developed and delivered training on EnABLE functionality

- Supported client acceptance testing, data validation, and production deployment

MassDevelopment, EnABLE Implementation Project

Senior Business Analyst, June 2014 to 2015, plus ongoing support

- Assisted with the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by MassDevelopment to support its economic development programs
- Performed business analysis, requirements validation, application testing and develops system documentation
- Developed and delivered training on EnABLE functionality
- Supported client acceptance testing, data validation, and production deployment

Indiana Department of Correction, Total Offender Management System Project

Senior Business Analyst, February to June 2014

- Assisted multi-resource, multi-vendor team in identifying current business processes and validating system requirements for the replacement of mission-critical offender management systems
- Facilitated client discovery meetings and documented current-state business processes and system requirements
- Created formal project deliverables including the Requirements Traceability Matrix (RTM)
- Performed project planning, status reporting, client relationship management, and quality control reviews of project deliverable

Fiserv Output Solutions, Indianapolis, Indiana

2004 to March 2013

Solution Builder (Business and Conversion Implementation Analyst), Healthcare Payments, 2011 to March 2013

- Responsible for gathering business requirements, assisting with estimate and functional specification documentation, and working with technical resources to interpret and implement requirements in a timely, efficient, and successful manner.
- Worked with team resources to perform analysis, estimation, and resolutions regarding implementation of business requirements and functional specifications for top 25 clients across multi-state platforms and facilities.

- Communicated, provided program solutions, and managed execution of functional specifications for internal and external clients that met and exceeded client and organizational objectives, resulting in successful implementations.
- Acted as WC3 (client web portal) subject matter expert (SME) for Healthcare Payments team members, Client Services, and clients, providing training, troubleshooting, and implementations strategy and execution, resulting in high level of client satisfaction.
- Possessed knowledge of inter-system and interdisciplinary products and solutions that allowed effective management of team resources to produce successful outcomes.
- Implemented creative solutions to client change requests and production issues utilizing GMC PrintNet software in both hands-on and implementation analyst roles.

Account Manager, Card Production, 2009 to 2011

- Responsible for managing client relationships in healthcare ID card production, implementing client change requests, and troubleshooting programming issues.
- Acted as WC3 subject matter expert (SME) for Healthcare Client Services team members, Client Services, and clients, providing training, troubleshooting, and implementations strategy and execution, resulting in high client satisfaction.
- Possessed knowledge of company systems and resources to effectively provide solutions that met client business requirements such as Digital Card product, WIP process for hold/release, WC3 Special Handling options, etc.
- Developed and cultivated client relationships the resulted in high client satisfaction survey scores from several top 25 clients.
- Managed Client Services digital card client change requests, performing role of implementations analyst in communicating business rules, maintaining functional specifications, and working with inter-company resources to achieve desired results for major clients such as HCSC and Humana.

Senior Customer Service Representative, Healthcare, 2005 to 2009

- Primary company representative for daily contact with clients regarding operational and fulfillment issues. Demonstrated accurate use of Fiserv tools as well as specific knowledge of the complete client fulfillment process.

Additional work experience includes the following:

Riley Children's Foundation, Indianapolis, Indiana

Director, 1994 to 2003

Director, Camp Planning & Major Gift Officer, 2003

Director of Children's Camps & Programs, 1999 to 2002

Director of Communications, 1994 to 1999

Hook-SuperRx, Inc. (now CVS, Inc.), Indianapolis, Indiana

Assistant Director of Public Relations, 1983 to 1994

EDUCATION

Bachelor of Arts, English Literature, DePauw University, Greencastle, Indiana, 1982

PROFESSIONAL ASSOCIATIONS

Council of Infrastructure Financing Authorities (CIFA)

Council of Development Finance Agencies (CDFA)

Michael Marine, EnABLE Senior Configuration Analyst

Mr. Michael Marine draws on 28 years of experiences in Food and Drug, Automotive, Child Support Enforcement and Consulting fields as a senior business analyst, technical writer, software and website tester, IT quality analyst, software trainer, apprenticeship program developer, and consultant to deliver high quality systems solutions, documentation, testing, consulting, and training.

Mr. Marine has excellent verbal and written communication skills. His position demands that he interview subject matter experts to extract pertinent information germane to a project.

Mr. Marine has developed comprehensive project, user, process, and product documentation, training programs, training materials, and operations and maintenance procedures. His experience in a wide variety of fields makes him a well-rounded business analyst and technical writer, able to tackle the most difficult project tasks.

Mr. Marine has extensive training experience in both hands-on and classroom training situations.

PROFESSIONAL EXPERIENCES**Technology Partnership Group, Inc., Indianapolis, Indiana**

Technical Writer, Business Analyst April 2020 to present

EnABLE Upgrade Project

Senior Business Analyst, April 2020 to Present

Theoris, Inc., Indianapolis, Indiana**Roche Diagnostics, IT Quality**

IT Quality Analyst, June 2015 – March 2020

Worked closely with assigned projects to deliver validation documentation. The process included reviewing, commenting and approving the validation documentation in order to validate IT systems. Also supported the Change Control process of these systems.

Roche Diagnostics, Diabetes Care Autonomy & Speed

Business Analyst and Technical Writer, August 2014 – June 2015

Worked with Project Managers to identify, gather and manipulate application data used to create the Application Management Database (AMDB) containing applications used by Diabetes Care. Supported the different areas of the project to produce documents for system validation.

Roche Diagnostics, Product Center Upgrade Project

Technical Writer, February 2014 – August 2015

Created and revised application documentation to reflect the upgrades in the application.

Roche Diagnostics, Optimizing CRM for Customer Solutions (OCCS) for Diabetes Care Call Center Project

Business Analyst and Technical Writer, November 2013 – February 2014

Produced test scripts, design specifications, configuration specifications, tested the new application for bug fixes, identified bugs in the application, and helped maintain the Traceability Matrix.

Roche Diagnostics, MyTracker Project

Testing Coordinator/Project Coordinator, February 2014 – July 2014

Coordinated writing test cases and their execution through UAT testing. Produced validation documentation for the project.

Roche Diagnostics, SAS /BI Project

Project Coordinator, October 2013 - February 2014

Coordinated writing test cases and their execution through UAT testing. Produced validation documentation for the project.

Roche Diagnostics, ProjectServer 2010 Implementation Project

Testing Coordinator, August 2013 - October 2013

Coordinated writing test cases and their execution through UAT testing.

Roche Diagnostics, Desktop Software Management Tool (DSMT) Project

Testing Coordinator, May 2013 - August 2013

Coordinated testing of all applications Roche uses in Indianapolis using the Desktop Software Management Tool (DSMT) – a Roche custom software.

Roche Diagnostics, Alliance Project

Project Coordinator/Test Coordinator, March 2013 – May 2013

Coordinated the writing of the test cases and their execution through UAT and Regression testing for the ACCU-CHEK® PumpStore website.

Roche Diagnostics, CBSC eCommerce Project

Project Coordinator, January 2012 – March 2013

Coordinated the efforts of the Roche eCommerce personnel to setup trading partners to send and receive eCommerce transactions.

Roche Diagnostics, ProductCenter (Phases I & II and Support) Project

Project Coordinator, July 2010 – January 2012

Coordinated the validation of the ProductCenter application which included AutoCAD Mechanical and Electrical software.

Roche Diagnostics, Kofax Scanner Project

Project Coordinator, November 2009- July 2010

Coordinated the validation of this ProductCenter application including the creation of all validation documentation for the project and the testing of the Kofax software release.

Roche Diagnostics, Ricoh MFD Project

Project Coordinator, January 2008 – November 2009

Coordinated and supervised the removal and replacement of 10 multi-function devices and the re-location of 4 of these multi-function devices. 11 departments and 36 different software packages were tested.

Roche Diagnostics, Net Pricing Initiative Project

Project Coordinator, July 2008 – November 2008

Coordinated the efforts of the Roche eCommerce personnel to setup and test trading partners to send and receive Net Pricing transactions.

Clarian, Revenue Cycle Project

Technical Writer, June 2008- July 2008

Documented the process of generating Month End Statements and converted test cases to a new format, then executed them.

Roche Diagnostics, Price Configurator System (RDPC) Project

Technical Writer, March 2008- June 2008

Wrote and executed test cases against requirements for the RDPC system and validation documentation for PRISMA

Eli Lilly & Company, ROCKET Project

Technical Writer, September 2006 – December 2006

Assisted Eli Lilly & Company personnel in completing and maintaining the validation documentation for the ROCKET project. In addition, maintained the Validation Library, and wrote test scripts for System, Integration and Regression testing.

Eli Lilly & Company, Lilly Safety System (LSS) Project

Technical Writer, June2002 – September 2006

LSS is a global system used to facilitate compliance-based activities required for drug and device reporting to the appropriate regulatory authorities. Wrote validation documentation, used Rational Tools/RequisitePro to tag requirements and design elements within the Reporting documentation and maintained the Validation Library.

Eli Lilly & Company, Patient Summary Tool (PST) Project

Technical Writer, January 2002 - June2002

The Patient Summary Tool project brings compliance-based activities required for drug and device reporting from other systems into one tool. The tool allows the user to view all the data required to compose the patient summary. Wrote validation documentation and executed test scripts on the tool.

Eli Lilly & Company, Deviation Reduction Project*Technical Writer, September 2001 - January 2002*

Provided site support for Diabetes Care Manufacturing. By writing deviations to reduce the backlog, made changes to existing procedures, and prepared and maintained Diabetes Care Manufacturing deviation metrics.

Additional companies and project work include:

Technology Partnership Group, Indianapolis, IndianaState of Michigan - Michigan Child Support Enforcement System, Lansing, MI (MICSES) Project*Site Consultant, June 2001 - September 2001*State of Indiana - Indiana Child Support Enforcement Tracking System (ISETS)*Lead Technical Writer/Trainer, May 1998 - June 2001***Freelance Technical Writer, June 1995 - October 1998**Eli Lilly & Company, IQ/OQ Computer Standard Operating Procedures*Technical Writer, August 1998 - October 1998*Amtrak, Instructor's Guide for Genesis, 7FDL Locomotive*Mechanical Lead Technical Writer, June 1998 - August 1998*DC Coaters*Mechanical Lead Technical Writer, February 1998 - June 1998*ITW Micro-Poise*Technical Writer, March 1997 - February 1998*Anderson Tool & Engineering*Technical Writer, July 1996 - March 1997*Pittsburgh Tube, Tec-FAB Division*Technical Writer, April 1996 - July 1996*Proctor and Gamble, Current Best Approaches for Operations and Maintenance*Mechanical Lead Technical Writer, October 1995 - April 1996*

Ford Motor Company, Canister Vent Valve Line Project

Mechanical Lead Technical Writer, June 1995 – October 1995

General Physics Corporation - Staff Specialist, Indianapolis, Indiana, January 1991 – June 1995

Anheuser-Busch Brewing Company, Wastewater Treatment Project

Staff Specialist/Technical Writer

General Motors Company (GM), Ft Worth, Wastewater Treatment Processes Project

Staff Specialist/Project Trainer

General Motors Company (GM), Millwright and Pipefitter Apprentice Training

Staff Specialist/Technical Writer & Project Trainer

Champion Paper, Operations/Maintenance Procedures for Wastewater Plant Project

Staff Specialist/Technical Writer

Eli Lilly & Company, Operations/Maintenance Procedures (ISO-9000) Project

Staff Specialist/Technical Writer

EDUCATION

Associates of Science, University of the State of New York, Regents, 1987

Purdue University, West Lafayette, Indiana, 103 credit hours toward Bachelor of Science,
Aeronautical Engineering, 1980 to 1984

Kathy Slack, EnABLE Configuration Analyst

Ms. Kathy Slack is a client-oriented business analyst with 16 years' experience in business analysis, software configuration, software testing, data validation, documentation, customer relations, human resources, daily financial functions, and management. Her role at TechPG as a business analyst allows her to utilize these combined strengths during client interactions and demonstrates versatility to adapt to each individual client's standards.

Ms. Slack maintains a high level of professionalism and meticulous attention to the needs and wants of clients within the realm of configuration, data validations and acceptance testing.

PROFESSIONAL EXPERIENCE**Technology Partnership Group, Inc., Indianapolis, Indiana**

Business Analyst, March 2014 to Present

New Jersey Economic Development Agency, EnABLE Implementation Project

Business Analyst, January 2016 to Present

- Assists with the implementation of TechPG's EnABLE solution to track, manage and report on all projects, sources of funds, bonds, loans, grants, guarantees, venture funds and tax credits issued by NJEDA to support its economic development programs
- Facilitates configuration sessions, performs business analysis, requirements validation, integration testing and develops system documentation
- Develops and delivers training on EnABLE functionality
- Support client acceptance testing, data validation, and production deployment

Rhode Island Infrastructure Bank, EnABLE Implementation Project

Business Analyst, October 2016 to June 2018, plus ongoing support

- EnABLE configuration implementation and develops system documentation
- Internal testing, data validation and general support to TechPG team

New Mexico Finance Authority, EnABLE Implementation Project

Business Analyst, October 2015 to Present

- EnABLE configuration implementation and develops system documentation
- Internal testing, data validation and general support to TechPG team

Wyoming Office of State Lands and Investments, EnABLE Implementation Project

Business Analyst, November 2014 to 2016, plus ongoing support

- EnABLE configuration implementation and develops system documentation
- Internal testing, data validation and general support to TechPG team

Delaware Department of Natural Resources and Environmental Control, EnABLE Implementation Project

Business Analyst, March 2014 to May 2016, plus ongoing support

- EnABLE configuration implementation and develops system documentation
- Internal testing, data validation and general support to TechPG team

MassDevelopment, EnABLE Implementation Project

Business Analyst, August 2014 to 2015, plus ongoing support

- EnABLE configuration implementation and develops system documentation
- Internal testing, data validation and general support to TechPG team

West Virginia Municipal Bond Commission, EnABLE Implementation Project

Business Analyst, May 2014 to 2015, plus ongoing support

- EnABLE configuration implementation and develops system documentation
- Internal testing, data validation and general support to TechPG team

JCPenney Corporation, Charleston, WV

Administration and Office Specialist, October 2007 to January 2014

- Human resources specialist with daily tasks of cash deposit, payroll, store department staff scheduling and management team support.
- Maintained associate morale and relations along with vendor and supplier communications to exceed store standards and needs

- Organized and collaborated different aspects of staff meeting and picnics, loss prevention, short cash, store expenses, paper media retention and integrity of credit card information.

Basic Logic Assistant, March 2004 to October 2007

- Managed group of store replenishment associates- maintained individual staff schedules
- Responsibility of full store inventory, ordering stock and shipping of individual store merchandise

DialAmerica Marketing, Inc., Charleston, WV

Supervisor, October 2000 to March 2004

- Maintained different level positions starting from sales representative, part-time supervisor to full-time supervisor. (Trainer, Team Leader, Shift Manager and Recruiting)
- Multi tasked, organized and managed personal team of 10 sales representatives while running a shift of 36 sales representatives and 5 managers on a shift.
- Head of Employee Activities Committee, organized fund raising, company picnics and holiday parties.

EDUCATION

Associates Degree, Child Psychology, Mars Hill College, Mars Hill, North Carolina, 1992

Scott Slack, EnABLE Senior Developer and Data Conversion Lead

Mr. Scott Slack has an extensive background in the information technology industry that spans 24 years. He is an accomplished software developer and database administrator with demonstrated success designing and implementing database solutions that improve business functionality. Mr. Slack has a proven ability to implement technologies that decrease costs and increase performance. He has developed successful CD-based learning tools that

have trained thousands of people and saved clients millions of dollars. He has extensive experience managing other programmers in conjunction with outside vendors to get projects completed on time and on budget.

Mr. Slack's background includes software design, management, production, task management, client relations and administration covering more than 500 projects and 100 clients. He is capable of understanding, strategizing and completing all phases of the software development life cycle.

PROFESSIONAL EXPERIENCE**Technology Partnership Group, Inc., Indianapolis, Indiana**

Senior Developer and Data Conversion Lead, June 2013 to Present

- Responsible for the on-going development, configuration and implementation of EnABLE, TechPG's industry-leading bond, loan and grant management software used by governmental and quasi-governmental organizations to manage infrastructure finance and economic development finance programs, for all client implementations

Rhode Island Infrastructure Bank, EnABLE Implementation Project

Senior Developer and Data Conversion Lead, October 2016 to June 2018, plus ongoing support

- Assisted with the implementation of EnABLE to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by the Bank through its infrastructure finance programs, including the clean water and drinking water state revolving funds

- Performed system configuration and developed software customizations. Directed development resources, supported system testing, and created documentation.
- Led data conversion effort including conversion planning, documentation, development of conversion routines, data extraction and manipulation, and testing
- Supported client data validation, acceptance testing, and production rollout

New Mexico Finance Authority, EnABLE Implementation Project

Senior Developer and Data Conversion Lead, *October 2015 to Present*

- Assisted with the implementation of EnABLE to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by NMFA through its infrastructure finance programs, including the clean water and drinking water state revolving funds
- Performed system configuration and developed software customizations. Directed development resources, supported system testing, and created documentation.
- Led data conversion effort including conversion planning, documentation, development of conversion routines, data extraction and manipulation, and testing
- Supported client data validation, acceptance testing, and production rollout

New Jersey Economic Development Agency, EnABLE Implementation Project

Senior Developer and Data Conversion Lead, *January 2015 to December 2019, plus ongoing support*

- Developed extensive web services to integrate EnABLE's financial processing with Microsoft CRM's client and project information for all economic development finance programs managed by NJEDA, including various state revolving funds
- Performed system configuration and developed software customizations. Directed development resources, supported system testing, and created documentation.
- Led data conversion effort including conversion planning, documentation, development of conversion routines, data extraction and manipulation, and testing
- Supported client data validation, acceptance testing, and production rollout
- EnABLE is integrated with Dynamics GP for general ledger functionality

Wisconsin Economic Development Corporation, EnABLE Implementation Project

Senior Developer and Data Conversion Lead, *December 2013 to 2015, plus ongoing support*

- Assisted with the implementation of EnABLE to track, manage and report on all projects, sources of funds, loans and grants issued by WEDC through its economic development finance programs
- Performed system configuration and developed software customizations. Directed development resources, supported system testing, and created documentation.
- Led data conversion effort including conversion planning, documentation, development of conversion routines, data extraction and manipulation, and testing
- Supported client data validation, acceptance testing, and production rollout
- Significant enhancements to funding source and budget functionality to accommodate a wide variety of economic development financial instruments and to integrate with Salesforce, the agency's CRM applications, were implemented with the WEDC release

Delaware Department of Natural Resources and Environmental Control, EnABLE Implementation Project

Senior Developer and Data Conversion Lead, September 2013 to May 2016, plus ongoing support

- Assisted with the implementation of EnABLE to track, manage and report on all projects, sources of funds, bonds, loans and grants issued by DNREC through its clean water, drinking water and other state revolving fund programs
- Performed system configuration and developed software customizations. Directed development resources, supported system testing, and created documentation.
- Led data conversion effort including conversion planning, documentation, development of conversion routines, data extraction and manipulation, and testing
- Supported client data validation and acceptance testing
- Significant enhancements to borrower application processing and robust dynamic forms module has been implemented with the DNREC release.
- EnABLE is integrated with the agency's general ledger and First State Financial applications

West Virginia Municipal Bond Commission, EnABLE Implementation Project

Senior Developer and Data Conversion Lead, September 2013 to 2015, plus ongoing support

- Assisted with the implementation of EnABLE to track, manage and report on all fiscal activities for the general-obligation bond issues of the counties, municipalities, and

school districts of the state and loan and grant programs associated with the revolving fund programs of the Water Development Authority and the Infrastructure Council

- Performed system configuration and developed software customizations. Assisted development resources, supported system testing, and created documentation.
- Led data conversion effort including conversion planning, documentation, development of conversion routines, data extraction and manipulation, and testing
- Supported client data validation and acceptance testing
- EnABLE is fully integrated with the WDA EnABLE implementation and the state's general ledger application

Massachusetts Development Finance Agency (MassDevelopment), EnABLE Implementation Project and CRM Replacement

Senior Developer and Data Conversion Lead, August 2013 to 2015, plus ongoing support

- Assisted with the implementation of EnABLE to track, manage and report on all projects, sources of funds, loans and grants issued by MassDevelopment through its economic development finance programs
- Performed system configuration and developed software customizations. Assisted development resources, supported system testing, and created documentation.
- Led data conversion effort including conversion planning, documentation, development of conversion routines, data extraction and manipulation, and testing
- Supported client data validation and acceptance testing
- EnABLE functionality was enhanced to replace the agency's NetSuite CRM application and the system integrates with the agency's general ledger application

Dream Catcher Creative, LLC, Charleston, West Virginia

Lead Programmer/Manager/IT Technician, June 2003 to June 2013

- Project management
- Web/ intranet application development and deployment
- Database design and implementation
- Desktop support and installation
- Network support and installation including wireless
- Managed staff resources to ensure project success and client satisfaction

Select relevant projects included:

West Virginia Water Development Authority – West Virginia Infrastructure and Jobs
Development Council website

Lead Programmer, Customer Website Developer and Custom Database Designer

Collaborated with three additional vendors to develop and implement a newly automated system. The goal of the project was to support the planning, management, and oversight of the State's \$300M program of water and wastewater projects. The resulting system uses the custom web-site and database to walk the end-user through each step of the process and provide access to forms for each stage that is integrated across all vendor's systems.

Spilman Thomas & Battle – Workers Compensation Database Website

Project Manager and Lead Programmer

Converted an existing access database to MSSQL internet-based site. Worked with Paralegals and the IT department to create security access levels for Paralegals, Attorneys, and Clients to view and/or edit the content of the claim. The result allowed the law firm and the clients to access key information about a case from anywhere that it was needed.

Johnson & Johnson Ortho-Clinical Diagnostics

Project Manager

Worked with five international business units to develop and design a dynamic database/knowledge management engine that processed content for the five divisions. The rule set governing content access by various business units provided for limited access based international laws restricting use of drugs in the medical environment of participating countries. With the new system in place it cut down on confusion of which information was up to date and made it easier to limit who had access to it.

Dade Behring Inc., Product Support Online Help

Developer

Assisted in designing and developing an interactive, knowledge management-based data warehouse. The result received a standing ovation at the Dade National Sales Meeting. It is used globally and is designed for both online and CD delivery. Since inception, the project incorporates all manufacturing data, instrument and business unit information. Links are in place to support internal, extranet and end-users using a single code set.

KRO Productions Inc., Charleston, West Virginia

Studio Manager/Lead Programmer, June 1996 to June 2003

- Project management
- Web/application development
- CD development – Created multimedia CD's for educational learning, product training and general product information.
- Studio management – Managed a small group of business professionals from project inception through successful completion.

TECHNICAL EXPERTISE

Software: SQL, MSSQL (2000, 2005, 2008), MySQL, Oracle (8, 9), DB2, Access, Visual Studio (2005, 2008, 2010), Photoshop, Dreamweaver, GeneXus, EnABLE, Workflow, and ArcGIS

Systems: Windows 2000/Server 2000, SBS2003, SBS2008, Server 2008

Languages: Visual Basic, PHP, HTML, C#, ASP.NET, Formatta

PROFESSIONAL ASSOCIATIONS

Council of Development Finance Agencies (CDFA)

Ben Harris, EnABLE Technical Analyst and Lead Report Developer

Mr. Harris has seven years' experience writing complex SQL queries, views, stored procedures, and database management and is proficient with Microsoft Reporting Services, T-SQL and relational database design. He has exceptional skills and experience in troubleshooting, problem solving, and providing detailed documentation for system testing. He possesses excellent interpersonal, organizational, written and verbal communication skills and a strong ability to work independently or in team collaborations. His demonstrated ability to resolve technical issues, multi-task, and complete projects in a timely manner has resulted in positive experiences for clients.

Mr. Harris has knowledge of infrastructure finance and economic development programs and has developed countless financial reports and financial data conversion plans. He has also developed comprehensive report documentation and report specifications, along with ad hoc report training programs.

PROFESSIONAL EXPERIENCE**Technology Partnership Group, Inc., Indianapolis, Indiana**

Lead Technical Analyst April 2020 to Present

Database Analyst February 2013 to April 2020

As a lead technical analyst at TechPG, Mr. Harris' duties include:

- Monitoring production/test servers' health including disk space, backups, and performance
- Managing migration and validation of migration of SSRS report to all internal and client environments
- Developing application enhancements and fixes using the GeneXus development environment, including programming, debugging, code reviews, documentation and work estimation
- Supporting internal system testing efforts and client acceptance testing efforts, developing or maintaining standard system documentation, and supporting clients through company help desk

His project work for TechPG includes:

Technology Partnership Group, EnABLE Upgrade Project

Lead Technical Analyst April 2020 to Present

Rhode Island Infrastructure Bank, EnABLE Implementation Project

Database Analyst, October 2016 to June 2018, plus ongoing support

New Mexico Finance Authority, EnABLE Implementation Project

Database Analyst, October 2015 to Present

Wyoming Office of State Lands and Investments, EnABLE Implementation Project

Database Analyst, November 2014 to 2016, plus ongoing support

Wisconsin Economic Development Corporation, EnABLE Implementation Project

Database Analyst, December 2013 to 2015, plus ongoing support

Delaware Dept. of Natural Resources and Enviro. Control, EnABLE Implementation Project

Database Analyst, September 2013 to May 2016, plus ongoing support

West Virginia Municipal Bond Commission, EnABLE Implementation Project

Database Analyst, September 2013 to 2015, plus ongoing support

Massachusetts Development Finance Agency (MassDevelopment), EnABLE Implementation Project and CRM Replacement

Database Analyst, August 2013 to 2015, plus ongoing support

Michigan Department of Treasury, EnABLE Implementation Project

Database Analyst, February 2013 to Present

EDUCATION

Bachelor of Science, Information Technology, University of Phoenix, Phoenix, Arizona 2012

Associates of Science, Finance and Economics, Indiana University, Kokomo, Indiana 2004

PROFESSIONAL ASSOCIATIONS

Company MICROS-Retail XBR store analytics trainer

Certified in Wicklander-Zulaski interview and interrogation techniques

Certified CPR instructor by the American Heart Association

E.19 IMPLEMENTATION

1. Provide a proposed Implementation Plan. The Implementation Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities required to seamlessly implement the proposed system. The proposed Implementation Plan must meet or exceed all requirements set forth in Section 2.24 of the RFP.

Implementation Plan

TechPG has reviewed the requirements contained in Section 2.24 and agrees to provide the requested services as part of our implementation activities.

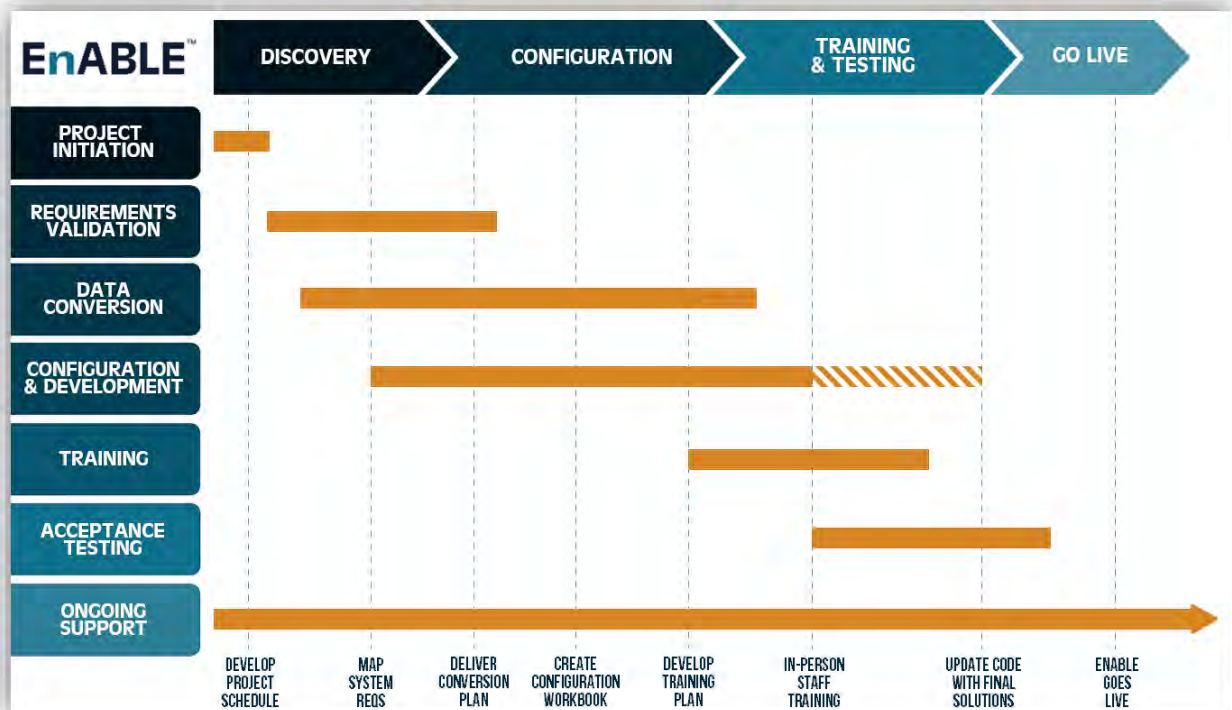
TechPG has developed a structured approach to implementing EnABLE that is based on Project Management Body of Knowledge (PMBOK) principles and relies on time-proven project management techniques for implementing packaged software solutions. This approach ensures an:

- Organized and efficient use of the available time and input from ANRC management and staff
- Efficient and accurate confirmation of all business requirements
- Optimization of business processes by leveraging new opportunities offered by EnABLE
- Thorough user training, acceptance testing and data validation prior to live operations
- On-time and on-budget implementation of the EnABLE solution

Below we describe this approach by providing an explanation of the key project phases, tasks and deliverables required to successfully implement ANRC's EnABLE system.

Although the deliverables differ slightly from the list of Deliverables identified in the RFP, the tasks and deliverable items included here will ensure a successful implementation of the new financial management and loan and grant servicing software for ANRC.

Immediately following these descriptions, please see the representative Work Breakdown Structure and Schedule that dovetails with the descriptions of the phases and deliverables presented here.



Phase I – Project Initiation and Management

The activities performed during the first phase of the project serve as the foundation for a successful implementation. Based upon our almost three decades of public sector systems development experience, TechPG has learned that the following project management tasks and deliverables must be prepared and utilized for success:

- *Identify All Stakeholders and Define Their Roles and Responsibilities* – All ANRC and EnABLE team members will be identified and their roles and responsibilities clarified. Each stakeholder will be educated on their responsibilities and on the reporting and project tracking processes.
- *Implement Timely Communication and Project Status Reporting* – Besides daily contact between team members, EnABLE project management will implement bi-weekly status reporting and project status meetings. The bi-weekly status report will identify the progress being made on the project and any issues encountered, which will be discussed and addressed by project stakeholders during the bi-weekly status meeting.

- *Create Initial Project Schedule* – EnABLE's project management will refine the preliminary project work breakdown structure and schedule presented in this proposal with input from ANRC's project management to create the initial project schedule. This schedule will be constantly evaluated and the progress of tasks tracked. By using this tool to track progress, project delays and slippages can be avoided or addressed as they begin, not after they have adversely impacted the timely completion of the project.
- *Develop Project Management Plan* – In addition to the project schedule, a project governance document will be created to aid in managing the project. The primary goals of this document are:
 - Outline the roles, responsibilities and relationships between all ANRC staff, ANRC vendors, and EnABLE staff assigned to the project
 - Clearly document the project scope including in-scope and out-of-scope activities
 - Identify the communication plan for the project
 - Define the issue review and resolution procedures to be followed on the project
 - Define project risks identification and mitigation activities
 - Define quality assurance tasks and activities
 - Define the change management process
 - Define and establish a project document repository using SharePoint
 - Ensure that required approvals and direction for the project are obtained at each appropriate stage of the project
- *Develop Other Required Planning Documents* – The EnABLE project manager and other appropriate EnABLE staff will prepare all other planning documents required by the RFP including the Staffing Plan, Implementation Plan, Data Conversion Plan, Testing Plan, Training Plan, Maintenance Plan, Data Security Plan, and Disaster Recovery and Business Continuity Plan.

During this phase, initial technical activities will also be accomplished. They include:

- *Determine/Create Technical Environment* – the EnABLE team members will work with ANRC's technical staff to define and implement the hosted technical environment required to transfer, configure, and implement EnABLE. These environments will include a separate testing/training environment and a production environment.

- *Install and Verify Baseline EnABLE System* – EnABLE team members will use the created environments to install the base system.

Phase I Deliverables:

- Initial Project Schedule
- Project Plan
- Other Required Planning Documents
- Initial hosted environment and installation of baseline EnABLE software

Phase II – Requirements Mapping and Configuration Definition

Work effort in this phase focuses on developing an understanding of ANRC's relevant business processes and optimizing these processes to maximize efficiency and effectiveness by leveraging the functionality of EnABLE. The following key tasks are performed:

- *Familiarization with Existing Systems and Processes* – The EnABLE project team will work with ANRC to learn about the operations of the existing Water Development Division programs and to review and analyze the financial management and grant and loan servicing software system requirements. The objective is to fully understand the current business processes and system requirements to develop the Requirements Traceability Matrix, a document used throughout the project to track that all requirements are understood and will be met by the configured system.
- *Introduce Software to Stakeholders* – A software orientation session will be conducted with the designated ANRC project team members and key staff to establish an understanding of the functionality and capabilities of EnABLE. This will allow the ANRC project team to better understand how the functions of EnABLE can be leveraged to optimize the department's business processes.
- *Conduct Operational Walkthroughs/Configuration Workshops* – A series of structured workshops will be organized to walk through each process with ANRC to validate the business requirements, map the requirements to the existing EnABLE functionality, and identify any areas where gaps may exist. Decisions made during this process will be captured in the EnABLE Configuration Workbook. It is important to note that

EnABLE will begin to be configured as we go through this process so that the ANRC Project Team can actually see the results of the configuration decisions. TechPG has found this “prototyping” approach results in a more optimal outcome. In addition, any customization to the software that may be required to meet the business objectives of the Division will be captured to facilitate the definition of scope in subsequent tasks.

- *Record and Resolve Issues* – It is common to encounter issues during the workshops that require changes or decisions in the way the State does business that must be approved by the ANRC project management team. These issues will be recorded and delivered to ANRC’s project sponsors via the project management protocols established during Phase I. It is very important that rapid review and resolution occur so that project effort and momentum is not stalled. Failure to achieve decisions within a reasonable timeframe may result in additional time and cost to complete the project.
- *Finalize Configuration Workbook* – This task serves as the culmination of the workshop effort and entails final documentation of all decisions relating to the configuration of EnABLE. The workbook information will have been collected through the various requirement analysis and configuration workshops.
- *Customization Review (if needed)* – To the extent that the configuration process identifies system customizations that modify the scope of the solution, a walkthrough session with the ANRC project management team will be conducted to review the scope of the customization effort and obtain an understanding and acceptance of the final scope to be included in the system implementation. This entails estimating the financial impact of all customization efforts. This task will conclude with the approval of a revised work plan, and as appropriate and necessary, an amended project agreement with TechPG.

Phase II Deliverables:

- Requirements Traceability Matrix
- Configuration Workbook
- Revised Project Plan, if needed

Phase III – Data Conversion

Based upon the information provided in the RFP, TechPG anticipates utilizing EnABLE's data import spreadsheet process to convert all existing data to the new system. EnABLE has approximately 60 formatted spreadsheet templates that can be used to import a wide range of legacy data. It will be ANRC's responsibility to transfer the existing data to these formatted spreadsheet templates, with guidance and direction from the TechPG.

The EnABLE conversion team will craft the conversion approach and develop the Conversion Plan deliverable following the steps below:

- *Review Data Sources* – The conversion team will work closely with ANRC staff to identify all sources of data to be converted, including data from Mitas, Excel workbooks, the Bond database and the New Projects database. Each source will be documented and cataloged for evaluation in the conversion process and plan. Data formats, counts, and validations will be documented and sample data will be reviewed for accuracy and cleanliness.
- *Develop Conversion Process* – Once all of the data has been identified and documented, the EnABLE conversion team will begin determining what data will be used and its source. Once this has been accomplished and the configuration and customization meetings have defined what EnABLE's base data structures will contain, the existing data will be mapped to the new structures.
- *Prepare Conversion Plan* – TechPG will use the findings from the prior activities to create a formal Conversion Plan that will document the sources of data, how they are mapped into EnABLE, data dependencies and data requirements. The plan will also specify any defaults or rules that will be applied to the conversion effort. This plan will then be submitted to the ANRC team for review and approval. The conversion plan will serve as the roadmap for cleanup activities and for the creation of the conversion routines.
- *Complete Import Spreadsheets and Test and Implement Data Conversion* – ANRC and TechPG will use EnABLE's formatted import templates to prepare its legacy data for conversion to the new system. Next, the EnABLE team will test the conversion loads. The process begins by converting data for contact, organization, borrower and project records. Validation will occur against this data to ensure that it is being

converted properly and works with EnABLE. Then, loan, grant, bond (if applicable) and other financial data will be converted and validated, followed by financial transactions. During User Acceptance Testing, ANRC will review and validate the converted legacy data and any identified data cleanup, corrections or changes will need to be made/applied to the conversion import templates. For production conversion, the team will rerun the conversion routines to capture the most up-to-date data and load this just prior to the “Go Live” date. Data cleanup is presumed to be a State activity, although this service can be provided by TechPG for an additional fee.

Phase III Deliverables:

- Conversion Plan
- Converted Data

Phase IV – Configuration and Development

Based on the approved deliverables from Phase II, the project team will complete the configuration of EnABLE and develop all approved customizations. This will be organized around the following tasks:

- *Configure and Develop Solution* – TechPG will implement all final user configurations to the software and develop all agreed upon customizations. Each customization will be tracked by the system to preserve unique processing functionality for future version upgrades of the software.
- *Unit and System Test Solution* – All configurations, customizations, and conversions will be tested by the EnABLE team to ensure the solution meets the agreed upon system requirements and functions to the specifications defined in the Configuration Workbook.
- *Change Management* – At this point the system is considered complete and configured to meet ANRC’s needs. Any changes requested after this point will be considered under the approved change management process.

Phase IV Deliverables:

- Fully-configured EnABLE System

Phase V – Training

Training will be conducted as organized along the following tasks:

- *Develop Training Plan* – A detailed training plan will be prepared defining participants, timeframes, learning objectives, training modules, module content and classroom and webinar delivery methods for the modules.
- *Configure Training Materials* – EnABLE's baseline training course will be adapted to accommodate the unique configuration and customizations of EnABLE for ANRC. The baseline training course consists of Microsoft PowerPoint presentations, step-by-step Quick Reference Guides and User Guides that are presented alongside EnABLE. This is augmented with on-line help instructions.
- *Train Acceptance Testers and Users* – Separate training will be provided at separate times to ANRC acceptance testers and other users. The acceptance testers will be trained immediately preceding the Acceptance Testing phase. All other users will be trained immediately prior to the Go Live date.

Phase V Deliverables:

- Training Plan
- Training Materials
- User Acceptance Tester Training
- User Training

Phase VI – Acceptance Testing

User acceptance testing will be organized along the following tasks:

- *Develop Testing Plan* – The EnABLE team will develop a Testing Plan that defines all processes to be tested. Specific processes and interfaces will be called out and discussed. This plan will include a test schedule, detail how testing will be conducted, identify tools to be used in the testing process, identify defect categorization and tracking procedures, identify the problem/issue documentation process that will be used to facilitate the efficient description and resolution of each problem/issue, document success/failure criteria for tests and UAT as a whole, and identify ANRC resources that will be dedicated to the testing effort.

- *Support User Acceptance Testing* – User acceptance testing will be performed by ANRC testers who will validate that EnABLE has been configured to meet the approved requirements and business rules contained in the Requirements Traceability Matrix. In addition, converted legacy data will be validated as a key part of the UAT effort.

UAT will be handled collaboratively between ANRC and EnABLE team members so that issues/problems can be resolved quickly. This minimizes impact on downstream testing. EnABLE technical resources will be available for immediate response to identified issues and the EnABLE project team will make every reasonable effort to resolve issues/problems in a timely manner.

Failure on the part of ANRC to conduct the test within the agreed upon timeframes may result in additional project time and costs

- *Sign-off on Acceptance Test* – Once all problems/issues have been resolved, a formal sign-off will be required from the ANRC acceptance testers in order to proceed to Live operations.

Phase VI Deliverables:

- Testing Plan
- Completion of User Acceptance Testing

Phase VII – Go Live

The Go Live phase will be organized along the following tasks:

- *Prepare Production Environment* – A distinct production environment will be established within the technology platform and configured with all appropriate back-up and security provisions. This task will be performed during the acceptance testing phase so the environment is ready for Go Live. Code from the Phase IV deliverable will be migrated to the newly established production environment to facilitate verification of environment.
- *Final Production Refresh* – Upon completion of Phase VI, the production environment will be refreshed with the updated code, inclusive of all acceptance test corrections. At the same time a final data migration (including the last round of converted data) will occur and all business processes will be tested.

- *Support Conversion to Live Operations* – Typically, the first several days after Go Live require a special level of support to handle any training or operational issues that may surface. TechPG will provide on-site support during this period to ensure a smooth conversion to live operations.

Phase VII Deliverables:

- Approved Implemented Solution

Post-Implementation Support

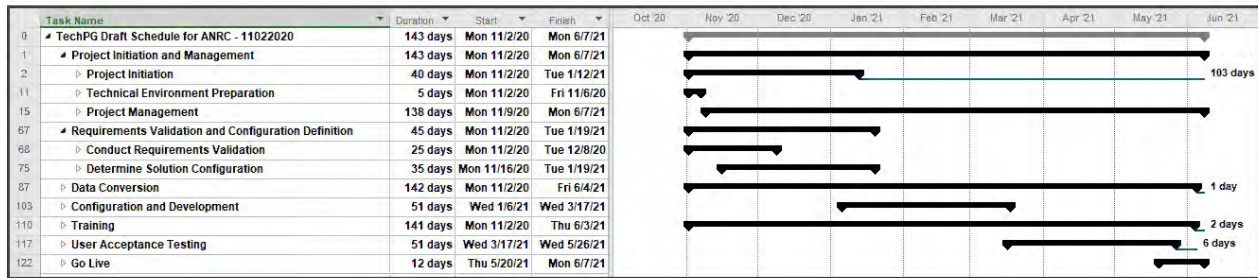
Post-implementation support is available through the following service plans:

- *Annual Maintenance and Support Services Agreement* – This optional annual agreement provides support for any software bug encountered and delivers any new releases of the EnABLE software.
- *Source Code Escrow Agreement* – This optional annual agreement provides protection to ANRC in the form of code and material deposits with an independent third-party Escrow company.

Proposed Schedule

TechPG has organized the EnABLE project into seven (7) key phases. The following Gantt chart provides a summary view of the implementation phases using a start date of November 2, 2020 (this date was selected for the purpose of illustrating the project schedule). The project will be accomplished over an approximately seven-and-a-half-month period and includes the following major milestones:

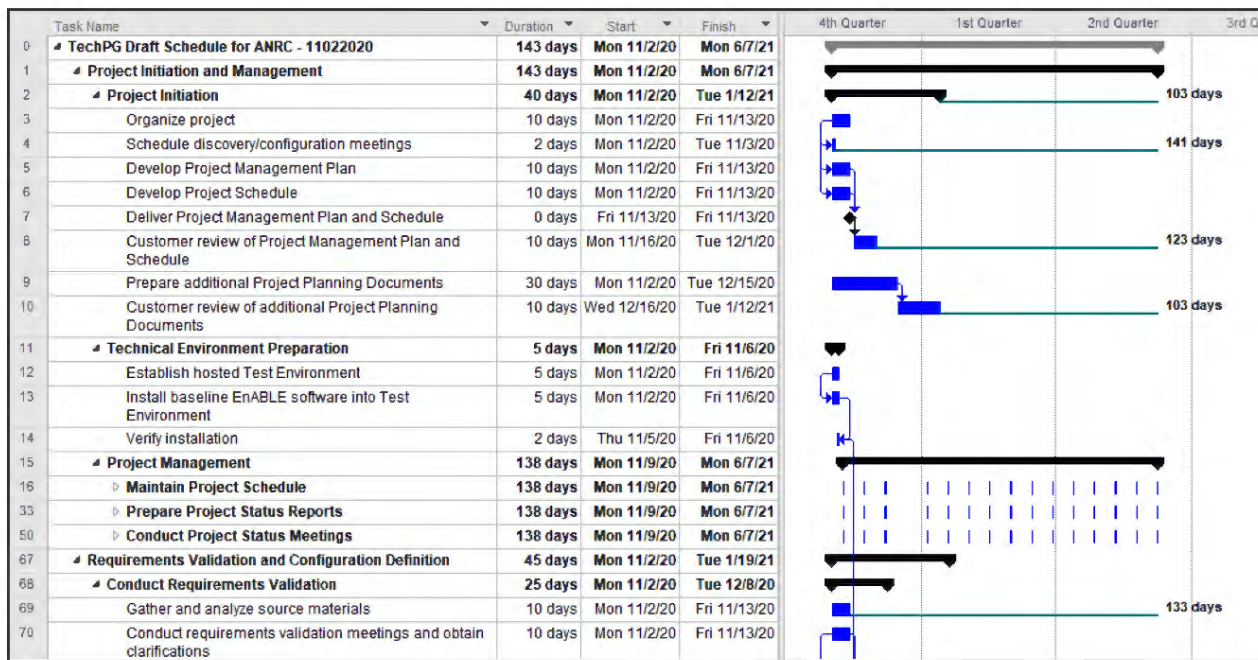
- Project Initiation completed by December 1, 2020
- Configuration Definition completed and documented by January 19, 2021
- Configuration and Development of customizations completed by March 17, 2021
- Acceptance Testing, Training and Go Live completed by June 7, 2021

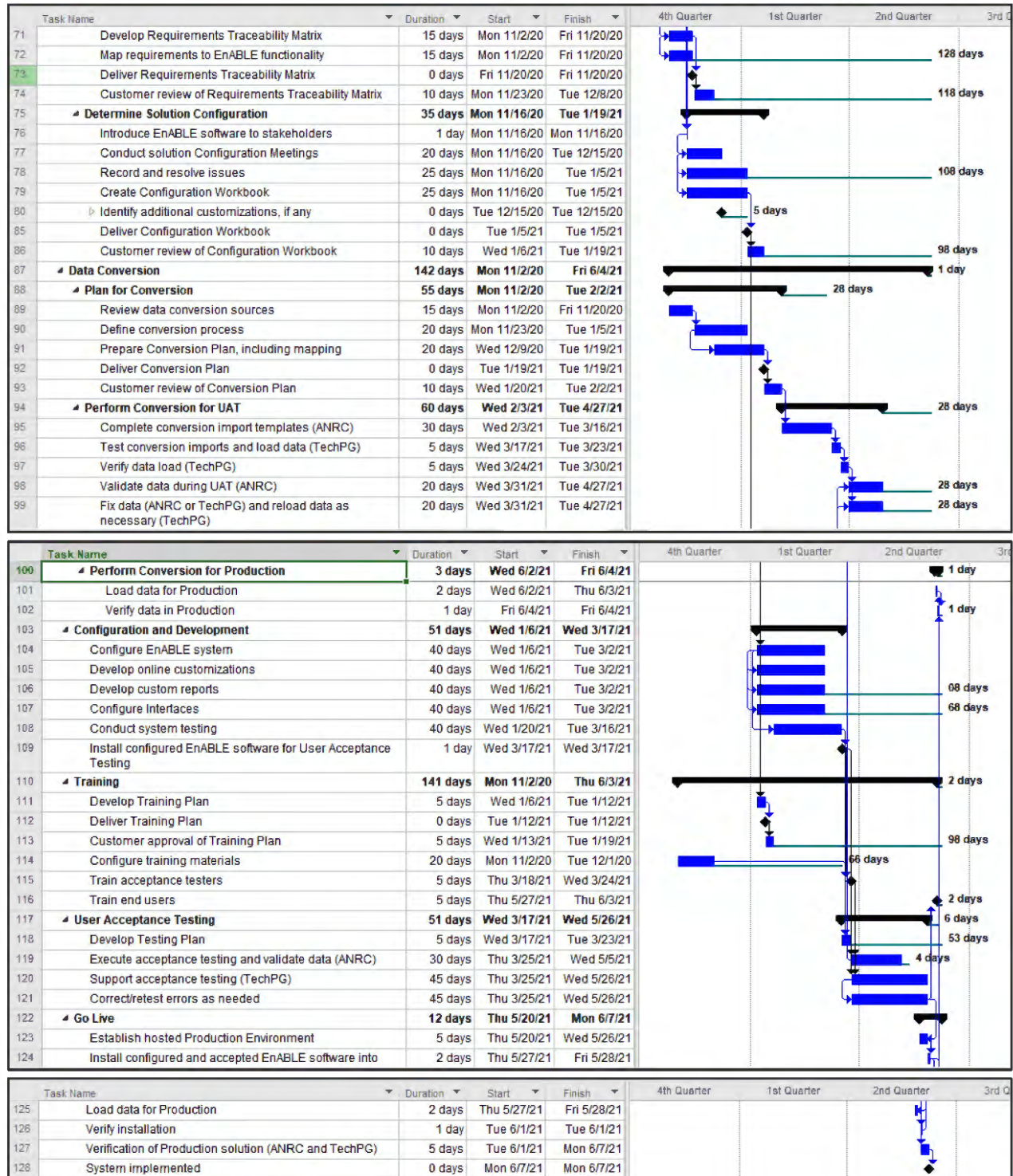


EnABLE Implementation Phases – 11/2/2020 to 6/7/2021

The following Gantt chart provides a graphical illustration of the Work Breakdown Structure (WBS) including phases, tasks and subtasks, as well as the projected timeframes and dependencies of each. In the Implementation Plan section above, we provide a description of the work to be performed and deliverables for each phase. At project initiation, the WBS and schedule will be further refined and then maintained as the primary project tracking tool for the life of the project.

Please note that multiple variables can affect the proposed schedule including state holidays or ANRC staff availability, extensive customization requests, or unanticipated data cleansing or conversion issues.





EnABLE Implementation Project – Proposed Schedule – 11/2/2020 to 6/7/2021

Change Management Process

TechPG recognizes that change management is crucial to the successful implementation of any complex software project. As part of our approach and implementation plan, TechPG will work closely with the State's manager to discuss and plan for the project's unique needs.

TechPG defines change management as the process of controlling changes to the project, especially the project scope, the solution specifications, and the contract. Change management is necessary to minimize the adverse effect of changes on the project schedule, project budget, project resources, and product quality.

To deal effectively with change, TechPG proposes a Change Management Strategy that covers the following topics:

- Change Management Responsibilities
- Change Management Resources
- Change Management Procedure

In general, the people who will be responsible for making decisions on proposed changes will be the State Project Manager or Executive Sponsor and the EnABLE Project Manager.

As change requests are generated using the EnABLE Change Request Form, they will be submitted to the EnABLE Project Manager. The Change Request Form will be available electronically to all team members and should be filled out completely.

The EnABLE Project Manager will be responsible for assigning ownership of the Change Request and managing the Change Request process. When all relevant information has been assembled the information will be presented to the appropriate State resource and a decision will be made regarding the disposition of the Change Request. In the event there is a significant difference of opinion regarding how to handle a change request, it will be submitted to the Steering Committee (if one is created) for further consideration and resolution.

E.20 TESTING

1. Provide a proposed Testing Plan. The Testing Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities required to effectively test the proposed system. Testing Plan must at meet or exceed all requirements set forth in Section 2.25 of the RFP.

Testing

TechPG has reviewed the requirements contained in Section 2.25 and agrees to provide the requested services as part of our implementation activities.

EnABLE is considered “off-the-shelf” software that is configured to meet a client’s processing needs, as opposed to being customized or developed “from scratch.” As a result, it is assumed that the base functionality already “works,” making the testing effort one of ensuring that ANRC’s defined requirements are met and that the configuration as implemented does not break any of the built-in system functionality. In addition to the configured functionality, there are custom-developed features, reports, documents, and interfaces with other software required by each client. This is in addition to the reports that come standard with the system, all of which need to be reviewed and tested prior to implementation.

The following table presents the forms of testing that will performed for the project.

Test Level	Test Type	Definition
System Testing (Performed by TechPG)	Unit Test	Confirms that the program logic within an application module produces the expected output when given a known input. Written from a developer’s perspective, this ensures that the smallest testable module of an application successfully performs a specific task(s). Unit tests tell a developer that the code is <i>working properly</i> .
	Function Test	Confirms that the logically grouped modules function according to specifications. Developers write this test from a user’s perspective. Testing is based on output only, without any knowledge of internal code or logic. Function tests tell a developer that the code is <i>working properly</i> .

Test Level	Test Type	Definition
	Integration Test	Verifies the system components are integrated and working as an application. The technical development team performs this test to uncover errors that occur in the interactions and interfaces between components.
	System Test	Verifies that functional business requirements, business processes, data flows, and other system criteria are met. The technical team tests specific end-to-end business processes until the complete application environment mimics real world use.
Migration Testing	Verification Test	Verifies that a product or product component is operating in its intended environment. Any testing stakeholder can conduct this test.
Acceptance Testing (Performed by ANRC)	User Acceptance Test (UAT)	Validates that the system, as a whole, meets mutually agreed-upon requirements. UAT is completed by end users of the application and occurs before a client accepts the new system.
	Data Validation	Confirms that historical data has been correctly extracted from legacy systems, accurately converted to new system formats, and correctly loaded into the new system. Data validation is performed by end users who are familiar with the legacy data and is conducted simultaneously with user acceptance testing.
System and Acceptance Testing	Regression Test	Re-execution of specific test cases to ensure defects are fixed, to find new defects that may have been introduced, and to confirm module(s) are functioning properly. Any testing stakeholder can conduct this test.

Testing Plan

The Testing Plan deliverable will be prepared and submitted to ANRC within 30 days of the start of the project and will consist of the following sections and information:

Test Plan Section	Included Information
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1 Overview	1.1 Testing to be Performed 1.2 Testing Scope 1.3 Testing Resources 1.4 Tester Training
2 System/Project Details	2.1 Test Environment(s) 2.2 Functional Areas to be Tested
3. Test Execution	3.1 Test Approach 3.2 Success Criteria 3.3 Expected Results 3.4 Test Schedule 3.5 Defect Tracking, Reporting and Monitoring 3.6 Testing Documentation 3.7 Results Summary

A sample of the Testing Plans' section entitled Functional Areas to be Tested is shown below. ANRC will use the information in the plan along with the system requirements to guide their development of the actual test scenarios that will be used during the UAT effort.

Testing Reference	Functional Areas	Detail for Test Scenarios
1.	Clients	<u>General Questions</u> a. Client <ul style="list-style-type: none"> i. Are we capturing everything we need ii. Do the reports meet our needs iii. Is the Client security role set up and working correctly <u>Suggested Testing Items</u> b. Client <ul style="list-style-type: none"> i. Add, update, view, delete clients and verify that they were created correctly ii. Verify the bank account ACH information and processes are correct <u>Core Functions</u> c. Clients <ul style="list-style-type: none"> i. Enter and maintain client records ii. Associate contacts with client records iii. Enter and maintain ACH information iv. Name projects for clients v. Enter and maintain notes and attachments

Testing Reference	Functional Areas	Detail for Test Scenarios
		vi. Access dynamic forms and complete application submission
2.	Loans	<p><u>General Questions</u></p> <p>a. Are we capturing everything we need</p> <ul style="list-style-type: none"> i. Base data ii. Amortization schedules iii. Interest rates iv. Receivables v. Disbursements and Adjustments vi. Standard Reports <p><u>Suggested Testing Items</u></p> <p>a. Do the EnABLE Amortization schedules match past amortization schedules</p> <p><u>Core Functions</u></p> <p>a. Loans</p> <ul style="list-style-type: none"> i. Enter and maintain loan information ii. Associate contacts with loan records iii. Enter and maintain interest rates iv. Setup and maintain amortization schedules v. Enter and maintain expected draw schedule dates and amounts vi. Generate transactions including draws, payments and adjustments vii. Enter and maintain notes and attachments viii. Generate standard reports and documents ix. Enter and maintain loan groupings i. Process receivables

User Acceptance Testing (UAT)

The steps to be followed to complete the UAT effort include:

- Organize inter-organizational team
- Review Testing Plan and confirm pass/fail criteria
- Schedule resources
- Create test cases and identify data
- Set up environment (as similar to production as possible)
- Set up test cases and simulation of all aspects of cases

- Train test team
- Define and implement defect detection, reporting and correction processes
- Execute test cases
- Analyze and record test results
- Correct defects
- Re-test system as necessary
- Prepare test report

UAT will first exercise core functionality to validate that the system satisfies end-user requirements as captured in the approved Requirements Traceability Matrix (RTM) and that it performs as intended as documented in the approved Configuration Workbook. Following this, the testing will validate the system's user interface; test any functional areas or features not tested in the core functionality tests; verify administrative functionality; and examine end-to-end processing of all client, project, loan and grant functionality and financial transactions. The focus of the end-to-end processing validation will be verification of all outputs and system calculations.

Test data will be provided by ANRC and will consist of fictitious data or a copy of existing client, project, loan, grant and financial records. This information will be manually entered by the client or loaded into the test environment as part of the data conversion process. Data in the test environment will only be used for testing purposes and will not be converted into the EnABLE production environment. A final conversion of historical data will be performed prior to going into live production.

ANRC's test team will have access to the EnABLE team throughout the testing process in order to discuss encountered problems and to work toward timely resolution.

The execution and success or failure of test cases will be tracked in a test log. This log will be maintained by the UAT testers. It will be used in conjunction with a defect tracking system, which all testers will have access to and receive training on its use (or one designated client user will receive tester input and create issue tickets). The defect tracking system will serve as the repository for all defect information and contain information about the actions to be taken to fix each defect, the timeframes associated with the corrective actions, and the retesting effort. Together, the information contained in the test log and the defect tracking system will be used to calculate the success rate for UAT and to provide regular reports to the client's designated project review personnel.

The final approval and sign-off process for UAT that will determine when the system goes into live production will be decided upon between ANRC and TechPG as part of the development of the Testing Plan. Examples of criteria successfully used in the past include:

- All items in the approved RTM and Configuration Workbook were addressed through the test cases.
- All test cases have been executed and __% have passed.
- There are no outstanding “Urgent” priority defects.
- Outstanding “High” priority defects have a work-around and comprise no more than __% of the test cases. These will be corrected within 10 days of system implementation.
- Outstanding “Medium” (also called “Normal”) defects in an open status have work-arounds and will be fixed within 20 days of system implementation.

At the conclusion of UAT effort, TechPG and ANRC will jointly review the results to make a “Go” or “No Go” decision regarding system implementation into production. Once all problems/issues have been resolved according to the agreed-upon plan, a formal sign-off will be required in order to proceed to Live operations.

E.21 TRAINING

1. Provide a proposed Training Plan that meets or exceed requirements set forth in Section 2.26 of the RFP. The Training Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities required to effectively train staff on how to use the proposed system. Include sample training materials that have been used in past implementations of similar size and scope to the one described in the RFP.

Training

TechPG has reviewed the requirements contained in Section 2.26 and agrees to provide the requested services as part of our implementation activities.

TechPG has extensive experience with the development and delivery of high-quality training programs and materials. The EnABLE training program and existing training materials will be tailored to provide classroom instruction for ANRC’s acceptance testers and staff users. (The baseline training courses consists of Microsoft PowerPoint presentations and job aids that are presented alongside the EnABLE solution. This is augmented with available on-line help, user guides and quick reference guides.)

Appropriate training will be delivered to ANRC staff based on their work duties and responsibilities. Training modules will cover basic system functionality, borrower information, project information, all loan and grant functionality, loan servicing and financial processing, funding source information, bond functionality, dynamic forms/ applications, reporting, document generation, system security and administration features. While the system is intuitive and easy-to-use, proficiency will be developed through hands-on activities in a training environment. The training curriculum will first be delivered to staff who will participate in the acceptance testing phase. Then, the training of remaining State staff will be timed to coincide with the cutover to the new system. The in-classroom training delivery can be captured with video equipment if recorded training is desired. (If formal video “tutorials” are desired, these can be produced for an extra fee.)

Post-implementation coaching and mentoring of ANRC staff will be provided on an as-needed basis to improve the understanding and use of EnABLE.

The EnABLE training program was designed utilizing aspects of the ADDIE Instructional System Design methodology. It covers the functionality, features and processing of the EnABLE application and addresses the goals of the training program and the learning objectives to be developed and identified in the formal Training Plan as described in Phase V of Section E.19, Implementation, above.

The Training Plan deliverable will include the following information:

Training Requirements	This section presents the training goals, learning objectives, expectations, roles and responsibilities, who will be trained, and dependencies/ constraints/ limitations of the training program.
Methodology	This section discusses the instructional methods to design and develop training and post-training activities, including coaching and reinforcement efforts.
Curriculum	This section provides the course outline for the EnABLE training program.
Logistics	This section covers coordination needs related to training delivery and resources, schedule and timeframes, location and technical environment.
Evaluation	This section summarizes how training effectiveness will be assessed.

Documentation

For an EnABLE implementation, TechPG provides the following system documentation in hard copy and/or electronic formats:

- Comprehensive user training materials
- Step-by-step User Guides and Quick Reference Guides to support complex functionality or processes
- Online Help Text
- Technical system documentation if EnABLE is run in the State's data-center

E.22 MAINTENANCE & UPDATES

1. Provide a proposed Maintenance Plan detailing the approach to ongoing maintenance of the proposed system that meets or exceeds the requirements set forth in Section 2.27 of the RFP.

Maintenance and Updates

TechPG has reviewed the requirements contained in Section 2.27 and agrees to provide the requested services as part of our implementation activities.

Details on maintenance of the hosted environment can be found in Section E.3, Hosting, above.

All Maintenance of the system is managed by the EnABLE DevOps team. This team oversees the operations and performance of the Hosted system as it relates to the EnABLE functional operations, all planning for and migration of EnABLE updates, and maintenance of the SSRS and OLAP Cube reporting services.

While staff from Expedient, our system hosting provider, ensures that the hosted physical environment is always available, TechPG's DevOps staff monitors the following items in the hosted environment:

- Monitors the physical disk space allotted to each implementation ensuring that adequate resources are available for code and database storage needs as they grow.
- Ensures that the production database is operating at an optimal level by ensuring that the database files are defragmented and the indexes are rebuilt as needed

- Performs any database backups and restores as needed to move data from production environments to test environments

When the need for a change to the system is identified through a discovered deficiency or planned enhancement, the steps to implement these changes follow a very structured and repeatable process:

- The proposed change is documented by business analysts who identify all areas of the system that will be affected and any changes to the EnABLE data structure.
- A meeting is held between the Senior Business Analyst and the System Architect to review the change and either send it back for any clarifications or corrections needed or approve it and determine if it needs to be implemented immediately or assigned to a future release.
- When it is time to implement an item, it is first assigned to a developer who reviews the change documentation and acquires any clarifications needed.
- The developer implements and tests the change in their own test environment and, when completed, uploads the changes to the code repository.
- An automated process then downloads the uploaded code and compiles it into a dedicated test environment that contains the current production code and any non-released release candidates. Automated regression tests are automatically run to verify that the change is not impacting base EnABLE functionality.
- A business analyst reviews the documentation and talks to the developer if needed.
- The business analyst creates specific test scenarios of transactions, queries or navigation paths that represent typical, critical and abnormal uses of the affected functions of the system. Test cases and results are documented to allow end users to view results or replicate test cases.
- Once all TechPG internal parties have tested and documented the changes, the items are logged into the EnABLE application log and the change is marked for migration to the release candidate environment.
- Once a change is marked as completed, an automated process downloads the code and compiles it into the release candidate test environment that contains the current production code and approved changes. Automated regression tests are automatically run to verify that the change is not impacting base EnABLE functionality.
- Test cases created by the business analysts are executed to ensure that all objects were successful migrated.

- Release notes are created for the change to be provided to clients when the change is released. Additionally, any applicable training manuals, quick reference guides or other documentation will be updated
- The change is entered into the EnABLE System Change Log which contains:
 - an explanation of the item
 - the module or component of the change
 - the reason for the change: Upgrade, Improvement or Bug Fix
 - any configuration changes required
 - a history of when the change was implemented at each clients' site
- The change is migrated into the appropriate release environment (immediate or future scheduled release)
- When appropriate, the change is moved into each client's test environment and EnABLE business analysts perform tests to ensure that the change migrated properly and is not affecting the client's specific implementation. All of the change documents are provided to the client for the client to perform their own testing.
- Once approved by the client, the release is scheduled for implementation into the production environment.

Upon project commencement, TechPG staff will take this process and create a Maintenance Plan incorporating the timeframes and notifications identified in the requirements of this section and deliver it to ANRC staff for review and approval.

E.23 USER & TECHNICAL SUPPORT

1. Describe how your company will provide Ongoing User and Technical Support beginning at Go Live and continuing for the life of the contract. Include details on how you will meet or exceed the requirements set forth in Section 2.28 of the RFP.

User and Technical Support

TechPG has reviewed the requirements contained in Section 2.28 and agrees to provide the requested services as part of our implementation activities.

Because customer satisfaction is our number one goal, TechPG is committed to world-class customer support regardless of project size or processing volumes. That's why we are continually researching, developing and implementing new methods of support to back our innovative software with highly responsive customer service. Our trained, skilled staff provide expert support regardless of issue or location.

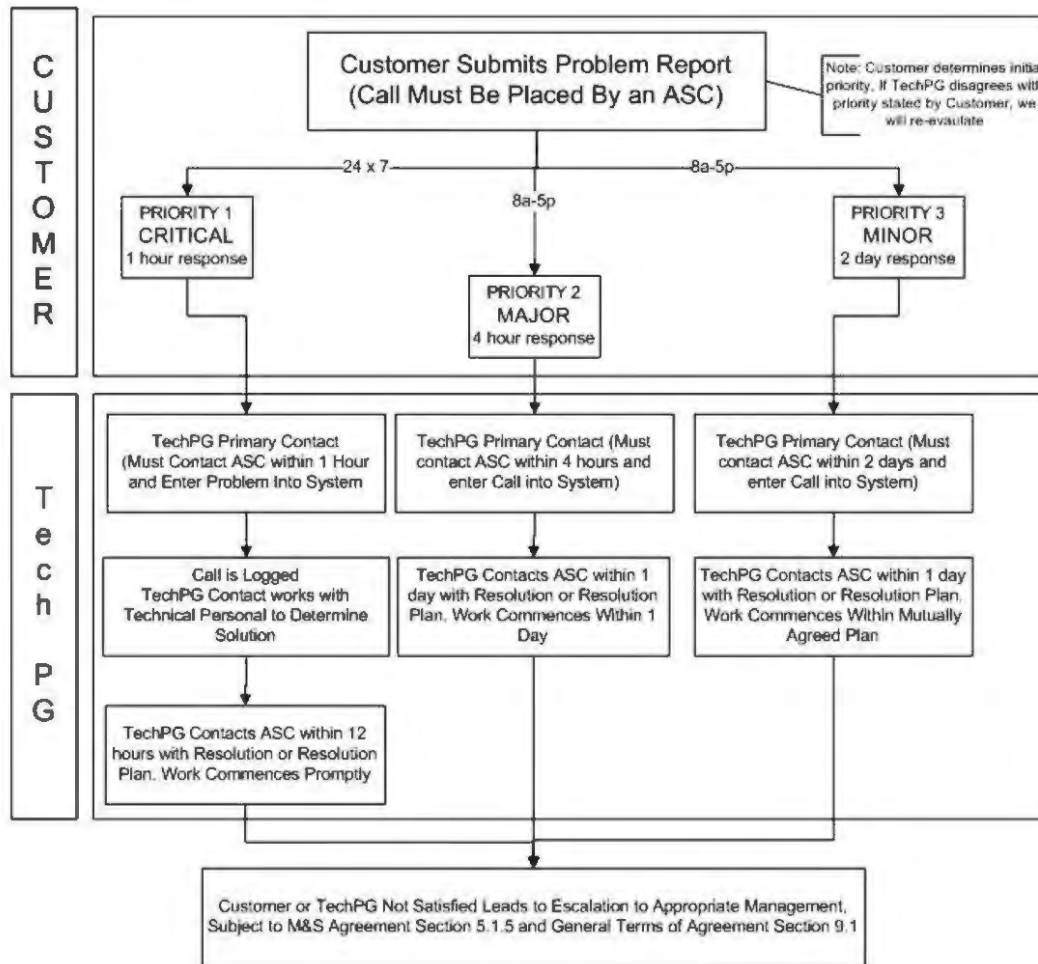
The EnABLE Customer Service and Support (CSS) Center is located in Indianapolis, Indiana and operates under normal business hours of 8:00 a.m. to 6:00 p.m. eastern time (EST), Monday through Friday. User or technical support or problem reporting can be accessed via phone or email. Emergency support is available 24 hours a day, seven days a week through an emergency contact tree with English-speaking support staff.

In terms of support for technical issues, TechPG welcomes the opportunity to work with the State to define prioritization levels and appropriate response and resolution times. For existing EnABLE clients, TechPG's Maintenance and Support Services Agreement has proven effective as a Service Level Agreement for problem response and resolution timeframes. The following table outlines the priority levels and response times used with our other state clients:

Priority Level	TechPG Initial Response Time	Status Updates	Problem Resolution or Plan in Place
1. Priority Level 1 " <u>Critical Problems</u> " are problems that are having a critical business impact upon the State such that the State's work is stopped or so severely impacted that the State cannot reasonably continue to perform the critical business functions that involve EnABLE, for example, complete inoperability of all or a business-critical portion of the functionality of the EnABLE such as the inability to access data, or a frequency of failures that precludes productive use of critical functionality, or a defect that affects the integrity of critical data.	1 hour, with Problem Resolution procedures commenced promptly (notwithstanding TechPG working hours)	No less than once every 4 hours. The first call shall be made within 1 hour of initial Problem Report to TechPG, and shall involve an EnABLE System Architect (notwithstanding normal business hours)	12 hours after first report
2. Priority Level 2 "Major Problems" are problems that are having a serious impact on the State but the State is still able to perform the basic business functions that involve EnABLE, for example, EnABLE is operational but its	4 hours, work commenced within 1 day	At least once every day. The first call shall be made within 8 working hours of initial Problem Report to TechPG	1 day after first report

Priority Level	TechPG Initial Response Time	Status Updates	Problem Resolution or Plan in Place
capabilities are degraded, such as the inability to execute a non-critical functionality, or a defect that requires ongoing intervention to maintain productive use.		and shall involve an EnABLE System Architect	
3. Priority Level 3 “ <u>Minor Problems</u> ” are problems identified but which do not present a substantial negative impact on the State’s productivity or operation of EnABLE.	2 days	Upon the State request	Mutually agreed to schedule

The following picture provides a graphical depiction of the problem reporting process for EnABLE implementations.



E.24 PRIVACY & SECURITY

1. Provide a proposed Data Security Plan. Provide details on how the proposed plan meets or exceeds the requirements set forth in Section 2.29 of the RFP.

Privacy and Security

TechPG has reviewed the requirements contained in Section 2.29 and agrees to provide the requested services as part of our implementation activities.

Part of the DevOps responsibility in monitoring the operation of the system is Breach Management. This effort is governed by an EnABLE Incident Response Plan that identifies how to evaluate the criticality of the event and steps for Response, Remediation and Escalation. This plan will serve as the basis for creating the required Data Security Plan

which will also incorporate the items identified in this section and comply with the state's security regulations and policies.

Section E.3, Hosting, above, describes the 24x7 onsite monitored hosting environment contained within the Expedient data centers and addresses several of the items required in this section. These data centers are physically protected by monitored cameras and motion detectors and double man-trapped entries with biometrics and requirements for all guests to be escorted at all times. Only the TechPG CFO has authority to enter the datacenters and has never had a need to do so.

The servers hosting the EnABLE application are restricted to access from only specific ports and IP addresses for interfaces. Each is protected by antivirus protection and redundant firewalls.

Access to the Production database is only given to the DevOps manager. From an application side, no user is given any authority to the database. Authority is only given to the EnABLE system through an encrypted Userid and Password. Only staff assigned to the ANRC project will have access to the ANRC test and production environments. All data retention and media sanitization steps and reporting required in this section will also be performed.

All EnABLE data is encrypted in transit through the application and is stored as encrypted at rest. ANRC's data will be stored in its own set of database tables in its own instance of the database. Full backups of the database are performed daily by scheduled jobs in the Expedient operations console. These backups are stored both on-site and at two other Expedient datacenters in the Midwest. DevOps staff also run scheduled weekly full backups and daily incremental backups that are stored as encrypted files in a TechPG data repository.

EnABLE only accepts online or interface request through secure encrypted firewall ports and does not allow for any traffic through unsecure ports like port 80. The current EnABLE certificate is issued by Network Solutions and is at an SSL V3 level. Besides requiring access through secure ports, all EnABLE integration webservice also require a valid Userid and Password to be presented and validated.

E.25 DISASTER RECOVERY & BUSINESS CONTINUITY

1. Provide a proposed Disaster Recovery Plan. The proposed Disaster Recovery Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities necessary for disaster recovery and meet or exceed all requirements in Section 2.30 of the RFP.

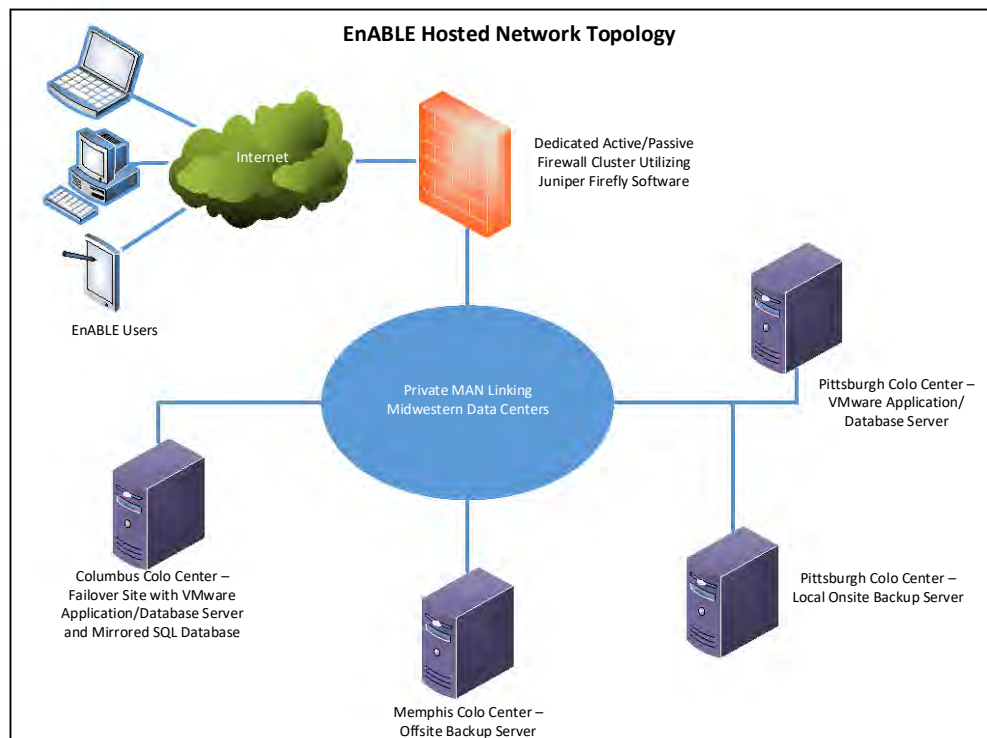
Disaster Recovery and Business Continuity

TechPG has reviewed the requirements contained in Section 2.30 and agrees to provide the requested services as part of our implementation activities.

Disaster Recovery

The requirements for this section of the RFP seem to be based upon a premise that the Production environment is a standalone environment with backups being taken to be used to restore the system in a Disaster Recovery event.

As shown in the following diagram, the EnABLE hosted environment does not follow this premise. EnABLE users access the system through an internet connection passing through a Firewall cluster and on to Expedient's primary EnABLE virtual machines located in Pittsburgh, Pennsylvania. These machines contain the Website and SQL database that make up the EnABLE system.



In addition to this environment, there is a second environment in Expedient's Columbus, Ohio data center containing virtual machines with the same code base and a mirrored copy of the Production database. This mirrored environment is updated in real time with all data first being stored on the Pittsburgh server and then the Columbus database.

As mentioned in Section E.3, Hosting, above, each environment has redundant power supplies and connections. In the event that a situation occurs where the Pittsburgh server would become unavailable, the Load Balancing software (located in the Blue circle above) would immediately notice the loss of availability and automatically begin routing all traffic to the failover site in Columbus. Users would not notice any interruption in service and the only data loss would be any data that was being committed at the exact moment of the outage. In 10 years of operating in this environment, we have never experienced a failover to the Columbus site.

Upon resolution of an outage of the Pittsburgh environment, the EnABLE DevOps team would schedule a date and time to take the ANRC Production system offline and resync the Pittsburgh database with the Columbus database and notify Expedient operations staff to discontinue routing traffic to Columbus.

This process was last tested in March of 2018. To demonstrate to ANRC the viability of this solution, TechPG will schedule additional tests to occur during final testing and after project go-live.

In addition to the failover site, an image copy of the Production virtual machine as well as the off-site database backups are stored at Expedient's Memphis, Tennessee data center. If needed, a third environment could be implemented in under two hours by restoring the image backup and either the onsite or offsite database backups providing a new ANRC production system as of the prior evening.

By contract and in practice, each TechPG client maintains full and complete ownership of their own data that resides in EnABLE and in all system backups. In the event of an end-of-contract situation where the State will no longer be utilizing EnABLE, TechPG will transfer a complete copy of all data to the State. To transfer the data, TechPG will create an extract of all database tables containing the operational data and any lookup tables needed to interpret normalized data. These extract files would then be delivered in a mutually agreed upon format (for example, via a disk or other media or uploaded to a secure share file site.) Once the data has been delivered to ANRC and the State notifies TechPG that the data has


been received and can be successfully accessed, then TechPG will delete all instances of the data, including backups, from our repositories and provide a certificate of destruction to the State.

Backups

As shown in the diagram above, onsite backups are stored on separate machines in the Pittsburgh datacenter and offsite backups in the Memphis datacenter. Though not shown, onsite backups are also stored in the Columbus data center. These full backups of the database are performed daily by scheduled jobs in the Expedient operations console. One months' worth of daily full backups is maintained in rotation with the oldest being overwritten after 30 days.

TechPG's DevOps staff receive and review an email (see below) at 8:00 a.m. each morning from Expedient on the prior night's backup. Data from this email will be used to provide identified ANRC staff with a daily report. DevOp staff also run scheduled weekly full backups and daily incremental backups that are stored as encrypted files in a TechPG data repository. These backups are kept for two weeks as a backup to the Expedient backups.

DevOps staff will implement procedures to maintain seven years of end-of-year backups as requested.



Fri 8/7/2020 8:07 AM

ACM Commvault <no-reply-ACMManagedBackups@expedient.com>

Backup Job Summary Report - Technology Partnership Group - Agent Backups Daily Report

To: Jack Ekins

Technology Partnership Group - Agent Backups Daily Report

Report generated on 08/07/2020 8:07:13

Version: 11

CommCell ID: F91FS

CommCell: pitacm-com01gw

Report Criteria -

- Job ID: All
- Group By: Client
- Backup Types: Full, Incremental, Differential, Synthetic: Full
- Job Status: All
- Includes: Subclient Content, Subclient Filters, Failure Reason, Job Description, Include Disabled Activity, Include Deconfigured, Protected Virtual Machines, Global Storage Policies
- Media Agents: All
- Computers: Technology Partnership Group (Group)
- Agent Types: All
- Storage Policy (Copy): Technology Partnership Group
- Throughput Unit: GB/Hour
- Locale: English
- Show Time In TimeZone: CommServe
- Last 24 Hours

Summary

Client	Host Name	Total Jobs	Completed	Completed with errors	Completed with warnings	Killed	Unsuccessful	Running	Delayed	No Run	No Schedule	Committed	Size of Application (Compression Rate)	Data Written (Space Saving Percentage)	Start Time	End Time	Protected Objects	Failed Objects	Failed Folders
All		4	4	0	0	0	0	0	0	0	0	0	742.97 GB (18.52%)	46.28 GB(93.77%)	08/07/2020 0:45:06	08/07/2020 5:08:12	1,481,805	0	0
ACM-VCENTER02_VMDK	acm-vcenter02	1	1	0	0	0	0	0	0	0	0	0	52.32 GB (10.39%)	41.10 GB(21.45%)	08/07/2020 3:00:21	08/07/2020 5:08:12	1	0	0

E.26 LEGAL COMPLIANCE

1. Provide information regarding any involvement in litigation and any suspension or debarment proceedings which could affect the contract resulting from this RFP as described in Section 2.31.B of the RFP.

Legal Compliance

For the entire history of the company, TechPG has faced no litigation, suspension or debarment related to any of our work performed for governmental entities and has no active or pending litigation or suspension or debarment proceedings for any of our work. We understand we have an ongoing obligation to disclose any future suspension or debarment proceedings to ANRC and that failure to do so may constitute grounds for suspension or termination of the contract and debarment from future contracts.

E.27 DATA OWNERSHIP & END OF CONTRACT TRANSITION

1. Describe how the State shall maintain ownership of all data in the Contractor's proposed system, and how that data will be transferred back to the State at the end of the contract. Include plans for destroying copies of State-owned data in the Contractor's possession at end of contract.
2. Describe the approach to end of contract transition. Include details on how Prospective Contractor will cooperate with the State and/or the next contractor to assure a smooth transition of services at end of contract. This should include transfer of State owned back to ADE or their designee.

Data Ownership and End of Contract Transition

TechPG has reviewed the requirements contained in Section 2.32 and agrees to these provisions as part of the contract.

E.27.1.

By contract and in practice, each TechPG client maintains full and complete ownership of their own data that resides in EnABLE and in all system backups. In the event of an end-of-contract situation where the State will no longer be utilizing EnABLE, TechPG will transfer a complete copy of all data to the State. To transfer the data, TechPG will create an extract of all database tables containing the operational data and any lookup tables needed to interpret normalized data. These extract files would then be delivered in a mutually agreed upon format (for example, via a disk or other media or uploaded to a secure share file site.) Once the data has been delivered to ANRC and the State notifies TechPG that the data has been received and can be successfully accessed, then TechPG will delete all instances of the data, including backups, from our repositories and provide a certificate of destruction to the State.

TechPG understands that all data received as part of the Contract must be used solely for the purposes of the Contract and not shared, reused or disseminated to any other party or entity without the express written consent of the ANRC Chief Information Officer.

E.27.2

End of contract transitions from one vendor to another can be fraught with challenges. In the event that TechPG's contract with ANRC is terminated or expires, we recognize the importance of working with the State to affect a smooth transition from EnABLE to other software and from TechPG's services to those of another vendor. Under a separate work order for transition activities, our project manager and/or business analyst team can assist the state with organizing project deliverables, documentation and other project artifacts for delivery to the new vendor and, as described above, our technical team can work with the state or new vendor to extract and deliver the state's data from EnABLE for import into the new system.

Official Bid Price Sheet
RFP# SP-20-0097
Financial Management Loan Servicing Software

Fields highlighted in yellow **shall** be used in calculating low price determination. Prospective Contractors **shall not** alter the Cost Workbook.

Table 1

Licensing		Total
One Time Cost	\$	150,000.00
*Provide a one time perpetual and royalty free license cost as described in Section 2.6 of the RFP.		

Table 2

Implementation		Total
One Time Cost	\$	242,000.00
*Provide the total, one time cost (including travel expenses) for all implementation activities necessary to fully implement the system. The cost proposed will be		

Table 3

Annual	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Total
Hosting	\$ 36,000.00	\$ 36,000.00	\$ 36,000.00	\$ 36,000.00	\$ 36,000.00	\$ 36,000.00	\$ 36,000.00	\$ 252,000.00
Maintenance & Escrow	\$ 28,000.00	\$ 28,000.00	\$ 28,000.00	\$ 28,000.00	\$ 28,000.00	\$ 28,000.00	\$ 28,000.00	\$ 196,000.00
User & Technical Support	Incl in Maint	Incl in Maint	Incl in Maint	Incl in Maint	Incl in Maint	Incl in Maint	Incl in Maint	\$ -
*Provide the annual cost for hosting, maintenance, and user & technical support as required by the RFP.								
								Total \$ 448,000.00

Table 4

Training		Total
One Time Cost	\$	32,000.00
*Provide the total, on time cost for completing all training activities as required by the RFP.		

Table 5

Data Conversion		Total
One Time Cost	\$	25,000.00
*Provide the total, on time cost for completing all data conversion activities as required by the RFP.		

Table 6

Additional Interfaces (Not Evaluated)	
Position Title	Hourly Rates
Project Manager	\$ 150.00
System Architect	\$ 150.00
Sr. Business Analyst	\$ 125.00
Senior Developer	\$ 125.00
Developer	\$ 100.00
Trainer	\$ 125.00
Technical Writer	\$ 90.00

*Provide an hourly rate for any customization or enhancements not covered by the scope of the RFP. Prospective Contractor may add additional rows as

Table 7

Customization and Enhancements (Not Evaluated)	
Hourly rate	\$ 125.00

*Provide an hourly rate for any customization or enhancements not covered by the scope of the RFP.

Table 8

Grand Total	
\$	897,000.00

EnABLE™

Transformative Financial and Program Management
Software for Government

RESPONSE TO RFP SP-20-0097

Financial Management and Loan and Grant Servicing Software

OFFICIAL BID PRICE SHEET

PREPARED FOR:

Arkansas Natural Resources Commission

August 11, 2020

OFFICIAL BID PRICE SHEET: ADDITIONAL INFORMATION AND ASSUMPTIONS

Base License Fee

EnABLE's base license fee is \$150,000, plus applicable sales or use tax, if required. This provides an enterprise license with no restrictions on the number of users or size of the loan portfolio and includes all modules and functionality identified in this proposal. The license fee also includes establishing two instances of EnABLE in our hosted environment for Testing/Training and Production.

Professional Services

The following professional services are necessary to implement EnABLE and are included in the one-time Implementation Costs and are based up the hourly rate table listed below.

- Project management and status reporting
- Performing process reviews, validating the requirements, and defining and documenting the configuration
- Software configuration
- Customization of EnABLE to accommodate unique ANRC business processes and custom dynamic forms (applications), reports and documents
- Interface with a third-party general ledger system, if desired
- Support for acceptance testing and data validation

Resource/Role	Hourly Rate
Project Manager	\$150.00
Technical Manager/System Architect	\$150.00
Business Analyst or Configuration Analyst	\$125.00
Senior Developer or Conversion Lead	\$125.00
Developer or Conversion Programmer	\$100.00
Trainer	\$125.00
Technical Writer	\$90.00

Rates for all professional services are for work performed at TechPG's Indianapolis office and do not include travel expenses.

Customization of user or operations manuals to sync with EnABLE functionality can be provided for an additional fee, if desired.

Project Management and Implementation Services

Professional project management and implementation services are crucial to any successful enterprise-level software implementation. Each client has unique business processes and functional requirements that must be identified, analyzed and addressed in the software's configuration. As discussed in our Technical Proposal Packet response, a significant amount of time is spent performing process reviews, validating functional requirements, defining and documenting the configuration, supporting the agency's acceptance testing and validation efforts, and providing project management and oversight to the entire project. The professional fees for these services are included in the one-time Implementation Costs.

Customizations

Customizations to EnABLE may be required to accommodate unique business processes, custom dynamic forms (applications), reporting or document generation requirements, or interface needs that may be discovered during the project's information gathering and configuration definition effort.

As each customization is identified during the configuration definition process, TechPG will follow the project's approved change control process and develop a formal estimate for the level of effort and its corresponding fees. These estimates are presented and discussed with ANRC's management prior to delivery of the completed Configuration Workbook, in order for ANRC to make a final decision about which customizations will be implemented during the configuration and customization phase. We have included fees in the one-time Implementation Costs to develop and test five custom Dynamic Forms (Applications) of an average complexity, ten custom Reports of an average complexity (not to exceed 100 hours of developer time in total), five custom Documents of an average complexity, one custom Tracking Plan, one custom Checklist, and one standard Interface with the agency's accounting/general ledger system, if desired. Development of additional reports,

documents, dynamic forms, tracking plans, checklists, or interfaces is not included in this quote and will require a change order.

Itemization of One-Time Implementation Charges

License and Implementation Services	Cost
Project Management Services	\$ 45,000
Implementation Services covering business process reviews, validating requirements, and defining and documenting the configuration	\$ 75,000
Customization Services including development and testing of 10 custom reports, 5 custom documents, 5 custom dynamic forms, 1 tracking plan, 1 checklist, and 1 GL interface	\$ 61,000
Acceptance Testing Support Services	\$ 36,000
Travel (Estimated)	\$ 25,000
Grand Total	\$ 242,000

Conversion

Data conversion is priced separately from the other implementation services. TechPG will review the existing data sources, develop the mappings between this data and our import spreadsheets, confirm the conversion procedures and prepare the Conversion Plan. ANRC will complete the data import spreadsheets and TechPG will create and test the automated conversion process and routines, execute the data conversion, and support ANRC during its data validation efforts. State staff will be responsible for reviewing the mappings and the imported data to ensure that it is being imported with the correct relationships and is complete.

TechPG assumes that ANRC will perform any required data cleansing prior to conversion, but can provide this as an additional service, if desired. Data cleansing includes standardizing records, correcting erroneous or inconsistent records, and correcting calculation errors.

The quality and consistency of current and historical data and the number of unique data sources can impact the data conversion fee.

Training

Training on EnABLE is priced separately from other implementation services and covers TechPG's efforts to customize our standard training materials to match the ANRC EnABLE configuration and to deliver classroom-based training on all modules of the system, first to your user acceptance test team, then to the rest of your user community. Additional user training on the same curriculum is available for \$2,500 per day, plus travel. Additional training on Microsoft SQL Server Reporting Services (SSRS) or training for technical staff (beyond standard system administrator and security features of the software) is available for an additional fee.

Travel

Travel expenses are included in the one-time Implementation Costs and are estimated at approximately \$25,000. This covers on-site services for the project initiation and data gathering efforts, configuration definition process, training, acceptance testing support, and final system implementation efforts.

TechPG will follow state travel guidelines and submit actual expenses for airfare, hotel and car rental reimbursement and use per diem rates for meal reimbursement. We will attempt to book all travel in advance and negotiate with vendors to obtain the most advantageous rates for the project. Given the current pandemic, it's possible that the travel expenses will be significantly less than this \$25,000 estimate, however, if necessary travel exceeds this amount, a change order will be required.

Maintenance and Support

EnABLE's optional Maintenance and Support Agreement is an annual program that provides online and phone-based help desk support, bug and error fixes, and licensing and installation of major and minor system upgrades and releases. The fee is 18 percent of the base licensing fee, or \$27,000 per year.

If ANRC does not wish to subscribe to the Maintenance Agreement, all support following the warranty period is provided on a time and materials basis at our then-prevailing hourly rates and no system upgrades and/or future releases will be provided without payment of additional licensing fees.

Code Escrow

TechPG provides an optional Code Escrow program that ANRC can enroll in for \$1,000 per year. Information about the program and release procedures is available upon request.

Hosting

EnABLE's out-sourced system hosting package is available for \$3,000 per month. This fee covers full application hosting at a managed data center located in the eastern United States which provides on-site, around-the-clock monitoring; disaster recovery and automatic failover support so that no data will be lost and the system will be available at all times; and implementation using virtual servers which provides instant performance changes to handle peak processing needs and your growing portfolio requirements.

Itemization of Recurring (Annual) Charges

Annual Expenses	Cost
Optional Code Escrow Program (\$1,000 per year)	\$1,000
Optional Maintenance and Support Contract (\$27,000 per year following Go Live)	\$ 27,000
Application Hosting (\$3,000 per month beginning with initial software installation)	\$ 36,000
Grand Total	\$ 64,000

Milestone/Deliverable Payment Schedule

TechPG is interested in negotiating with ANRC to create a Milestone/Deliverable-based payment schedule for the project.

Assumptions

Deliverables are invoiced "upon delivery" and invoices are due Net 15.

Any sales, use or gross receipts tax associated with the delivery of products or services under this contract will be charged to ANRC.

Formal change control procedures will be followed to implement additional system customizations and to address unknown, unexpected or unforeseen business requirements or additional interfaces with third party software.

Four weeks of user acceptance testing support and data validation support are included in TechPG's schedule and pricing. Additional time for acceptance testing or data validation support will require a change order.

TechPG provides a standard 90-day warranty following completion of UAT and acceptance of the system. We will fix all errors or bugs identified during this timeframe and, assuming that ANRC has enrolled in the annual Maintenance and Support Services Agreement, will continue to provide corrective support and upgrades to the system after the expiration of the warranty. The first-year's annual support cost is due and payable at the start of Production use of the system ("Go Live") following acceptance of the system.

ANRC will provide office space, internet access and access to basic office equipment and printers when TechPG consultants are on-site.

ANRC will arrange and provide training/computer lab space for the training associated with the project.

See descriptions, above, for other assumptions and limitations.