

**A SOLUTION PROPOSAL FOR:  
Texas Office of Court Administration**

**Request for Offer  
Statewide Electronic Filing, Document  
Access, Redaction, and Forms  
Assembly System (eFileTexas 2.0)  
RFO No. 212-20-0385**

**PRESENTED BY:  
Tyler Technologies**

**CONTACT:  
Eric Cullison – Vice President, Sales  
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**June 16, 2020**

Tyler Technologies, Courts & Justice Solutions, 5101 Tennyson Parkway, Plano, TX 75024  
800.431.5776 · 972.713.3770 · 972.713.3777 fax · [www.tylertech.com](http://www.tylertech.com)



## Restrictions on Disclosure

This proposal from Tyler Technologies, Inc. (“Tyler”) contains proprietary and confidential information, including trade secrets, belonging to Tyler or Tyler’s partners. Tyler is submitting this proposal on the express condition that the following portions will not be duplicated, disclosed, or otherwise made available, except for internal evaluation purposes:

- Response to the Functional Requirements, or “Checklist”
- Line-item pricing (total proposed contract amount may be disclosed)
- Screen shots, if any
- Detailed information regarding current customers
- Detailed employee resumes/CVs
- Customized Statement of Work/Implementation Plan

Each of these sections, if included, has separately been labeled “Proprietary and Confidential – Subject to Restrictions on Disclosure.”

Per RFO Section 1.2.15 Confidentiality of Documents, Proprietary Information, Public Information, Tyler has provided a separate copy of our offer that has confidential and proprietary information redacted.

To the extent disclosure of those portions is requested or ordered, Tyler requires written notice of the request or order. If disclosure is subject to Tyler’s permission, Tyler will grant that permission in writing, in Tyler’s sole discretion. If disclosure is subject to a court or other legal order, Tyler will take whatever action Tyler deems necessary to protect its proprietary and confidential information and will assume all responsibility and liability associated with that action.

Tyler agrees that any portions not listed above and marked accordingly are to be made available for public disclosure, as required under applicable public records laws and procurement processes.

## Trademarks Disclaimer

Because of the nature of this proposal, third-party hardware and software products may be mentioned by name. These names may be trademarked by the companies that manufacture the products. It is not Tyler’s intent to claim these names or trademarks as our own.

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## 1. Cover Letter

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

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

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

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

Tyler's cover letter is included on the following pages.



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Plano, Texas 75024

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[www.tylertech.com](http://www.tylertech.com)

June 16, 2020

Paula Garner, CTPM  
Tom C. Clark Building  
205 W. 14<sup>th</sup> St., Suite 600  
Austin, TX 78701

*eFileTexas 2.0 RFO No.: 212-20-0385*

Tyler Technologies is pleased to provide our proposal to the Texas Office of Court Administration (OCA) for the eFileTexas 2.0 Project. Tyler's proven breadth and depth of solutions, e-filing and courts expertise, and track record of execution are in seamless alignment with the direction and requirements the OCA has set forth. As we look ahead, Tyler and the OCA are poised to build on the success of our partnership as the OCA endeavors to once again raise the nationwide standard for electronic courts.

In 2012, despite over a decade of availability, e-filing was rarely used throughout Texas. Electronic filing volume measured at less than 500,000 filings per year and less than 1,900 filings per day. Several challenges stood in the way of adoption, to include the large and diverse construct of state and local courts, the lack of interoperability of the incumbent system, and the voluntary nature of participation. That year, Texas set a bold path by mandating electronic filing in all non-criminal cases within three and a half years and selecting Tyler Technologies as their technology partner.

The OCA and Tyler went on to create eFileTexas.gov, which now processes more than 19 million documents a year, 47,000 filings per day, and has more than 370,000 registered users. To arrive at that level of success, Tyler and the OCA worked through several major project adjustments, such as an expedited conversion due to the early exit of the previous e-filing vendor, new legislation and administrative rules, and accommodations for local courts wishing to expedite participation. Tyler demonstrated its flexibility throughout these adjustments and provided additional adaptations such as the sophisticated fee split program utilized by the Appellate and Supreme Courts, support for uniform technology standards across the filing community, and the creation of court-use only codes to accommodate the unique business practices of clerks across the state. Further, we were able to expand the capabilities of the original project to include Odyssey Guide & File to aid self-represented litigants and the Return for Correction process to remediate filings that failed to meet established norms. We believe the partnership

exemplified above was the key ingredient to the initiative's success. As evidence, the OCA achieved its objectives over 9 months ahead of schedule while maintaining the strength of Texas' tradition of strong local government.

Tyler is grateful for the opportunity to have worked so closely with the OCA to get to this point, and we believe there is more we can accomplish together. As the State of Texas looks to take the next step with the eFileTexas program, Tyler is confident our proposed solution will best meet the requirements set forth.

We provide the assurance of uninterrupted service and a known partnership resulting in the lowest risk. Thousands of hours of work have been done by Tyler, the OCA, and the Courts to achieve the current status, and we have the benefit of being able to dedicate our resources to the enhancement of eFileTexas rather than the duplication of past efforts. Tyler's proposal will expand the program to support additional Justice Courts and Juvenile Courts. We will enhance the solution to improve the expunction process and deliver a new and improved experience for clerks as they review filings. We will deploy a new and improved experience for filers as they submit documents while extending capabilities for electronic filing service providers. We will provide new insights into daily operations with drill-down dashboards powered by Tyler's Socrata data platform. We will introduce new opportunities to expand the project to include rich new insights for local judges and clerks with aggregated data made available to the OCA and Supreme court. We will unlock the potential for the OCA to eliminate laborious state reporting while providing powerful information to help shape judicial policy.

Our partnership has been extraordinary, and together we can continue setting the bar for efficiency and innovation for courts in America. We look forward to the opportunity to discuss this project in more detail. The primary contact for this offer is:

Eric Cullison  
Vice President  
Tyler Technologies  
Courts & Justice Division

P: 214.593.6671  
eric.cullison@tylertech.com  
5101 Tennyson Parkway  
Plano, TX 75024

Sincerely,



Russell Smith  
President

**TYLER TECHNOLOGIES**  
Courts & Justice Division

## 2. Organizational Profile, Experience and Capabilities

### 2.1 Offeror Services Overview

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

**Table 16: Offeror Services Overview**

Vendor	Product / Service Provided
Tyler Technologies, Inc.	Odyssey File & Serve / Electronic Filing Manager (EFM) & State-provided Electronic Filing Service Provider (EFSP)
Tyler Technologies, Inc.	Odyssey Guide & File / Forms Assembly Module
Tyler Technologies, Inc.	re:SearchTX / Document Access
Tyler Technologies, Inc.	Tyler Redaction / Redaction
Tyler Technologies, Inc.	Socrata / Reporting and Analytics

### 2.2 Organization Overview

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

**Table 17: Organization Overview**

Information Requested	Response
Company Name	Tyler Technologies, Inc.
Address	5101 Tennyson Parkway, Plano, Texas 75024
Telephone Number	(972) 713-3770
Website Address	www.tylertech.com
Parent Company	N/A
Subsidiaries or Affiliated Companies	Tyler does have subsidiaries, but they will not be providing services/software under this RFO.
Date Company Founded	1966

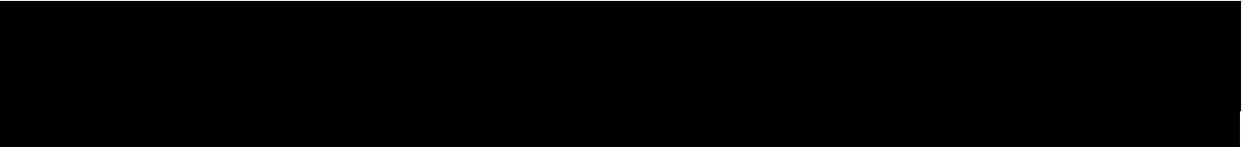
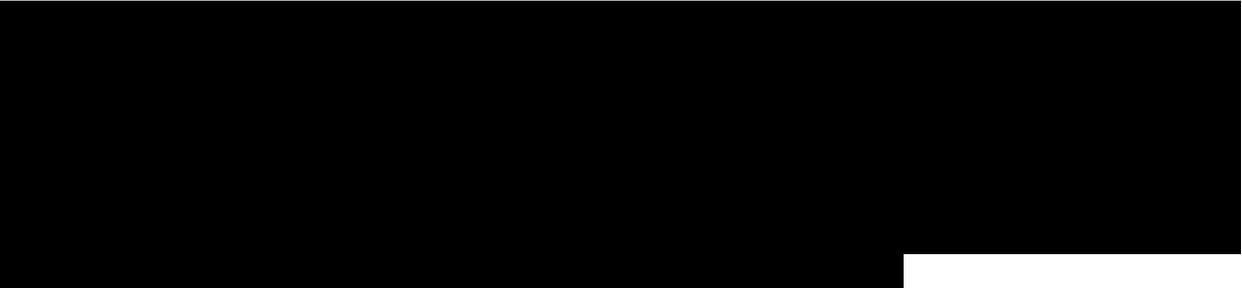
Information Requested	Response
Number of years Company has been providing the Product or Service specified in this RFO	<p>Odyssey File &amp; Serve, which will serve as the Electronic Filing Manager (EFM) and the State-provided Electronic Service Provider (EFSP), launched in 2011. eFileTexas went live ahead of schedule in 2013 and became the model for statewide e-filing.</p> <p>Odyssey Guide &amp; File, which will provide the Forms Assembly Module, went live in 2013.</p> <p>re:SearchTX launched in 2017.</p> <p>Tyler Redaction launched in 2018.</p> <p>Socrata launched its Socrata Connected Government Cloud (SCGC) platform in 2019.</p>
Most recent three (3) Fiscal Years' revenue and net income in USD	<p><b>Total Revenues</b></p> <p>2019 - \$1.08 billion</p> <p>2018 - \$935.2 million</p> <p>2017 - \$840.8 million</p> <p><b>Net Income</b></p> <p>2019 - \$146.5 million</p> <p>2018 - \$147.4 million</p> <p>2017 - \$169.5 million</p>
Company Ownership Structure (e.g., public, private, joint venture)	Tyler is a public corporation.
Stock Exchange and Symbol (if publicly traded)	Tyler is a publicly traded corporation on the NYSE (TYL).
Locations in the U.S., and total number of staff in each location	<p>Tyler has offices in the following locations across the U.S., Canada, and the Philippines with the approximate number of employees. Courts &amp; Justice customers and employees that will be assigned to this project are supported from the Plano, Texas office.</p> <ul style="list-style-type: none"> <li>• <b>Plano, Texas (corporate headquarters)</b> – 850 employees</li> <li>• Ames, Iowa – 21 employees</li> <li>• Ann Arbor, Michigan – 12 employees</li> <li>• Bangor, Maine – 35 employees</li> <li>• Bedford, New Hampshire – 19 employees</li> <li>• Billings, Montana – 46 employees</li> <li>• College Station, Texas – 40 employees</li> <li>• Dayton, Ohio – 140 employees</li> <li>• Duluth, Georgia – 209 employees</li> <li>• Herndon, Virginia – 170 employees</li> </ul>

Information Requested	Response
	<ul style="list-style-type: none"> <li>• Lakewood, Colorado – 120 employees</li> <li>• Latham, New York – 130 employees</li> <li>• Little Rock, Arkansas – 26 employees</li> <li>• Longview, Texas – 33 employees</li> <li>• Lubbock, Texas – 221 employees</li> <li>• Manila, Philippines – 114 employees</li> <li>• Marlborough, Massachusetts – 20 employees</li> <li>• Memphis, Tennessee – 9 employees</li> <li>• Mississauga, Ontario – 20 employees</li> <li>• Modesto, California – 27 employees</li> <li>• Newnan, Georgia – 15 employees</li> <li>• Olympia, Washington – 20 employees</li> <li>• Raleigh-Durham, North Carolina – 30 employees</li> <li>• Renton, Washington – 150 employees</li> <li>• Seattle, Washington – 95 employees</li> <li>• St. Louis, Missouri (Federal) – 28 employees</li> <li>• St. Louis, Missouri (LGD) – 38 employees</li> <li>• Tempe, Arizona – 84 employees</li> <li>• Toronto, Ontario (A&amp;T) – 17 employees</li> <li>• Toronto, Ontario (Federal) – 54 employees</li> <li>• Troy, Michigan – 380 employees</li> <li>• Vancouver, British Columbia – 25 employees</li> <li>• Washington, D.C.- 22 employees</li> <li>• Yarmouth and Falmouth, Maine – 600 employees</li> </ul>

**2.3 Vision and Future State Strategy**

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

**Proprietary and Confidential – Subject to Restrictions on Disclosure**



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**2.4 Relevant Corporate Experience**

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

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

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

Tyler’s most important reference for the eFileTexas 2.0 project would be the OCA’s experience with Tyler during eFileTexas 1.0. The fact that the 1.0 project was more complex than any other project previously completed in the country, we believe our ability to complete the project successfully and early are the best testament to our ability to perform as well as an indication of our philosophy of partnership.

In addition to the eFileTexas project, Tyler has extensive and unmatched experience in implementing similar systems in other states. References for those projects are provided below.

**Table 18: Corporate Reference Template**

Information Requested	Response
Reference Organization Name	[REDACTED]
Reference Organization Primary Function	[REDACTED]
Reference Contact Name and Title	[REDACTED] [REDACTED]
Reference Contact Telephone Number	[REDACTED]
Reference Contact Email	[REDACTED]
Project Name	[REDACTED]
Number of Courts and Users Involved	[REDACTED]
Contract Size (approximate total cost)	[REDACTED]

Information Requested	Response
Description of the Solution Implemented / Scope of Services Provided	[Redacted]
Project Start Date	[Redacted]
Project End Date (Planned, Actual)	[Redacted]
Implementation Challenges and How Offeror Addressed these Challenges	[Redacted]
Offeror's Project Manager	[Redacted]
Offeror's proposed eFileTexas 2.0 Key Implementation Team Members and their Roles on this Project, including subcontractors / partners	[Redacted]
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	[Redacted]

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Information Requested	Response
Implementation Challenges and How Offeror Addressed these Challenges	[Redacted]
Offeror's Project Manager	[Redacted]
Offeror's proposed eFileTexas 2.0 Key Implementation Team Members and their Roles on this Project, including subcontractors / partners	[Redacted]
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	[Redacted]

Proprietary and Confidential – Subject to Restrictions on Disclosure.

Information Requested	Response
Reference Organization Name	[Redacted]
Reference Organization Primary Function	[Redacted]
Reference Contact Name and Title	[Redacted]
Reference Contact Telephone Number	[Redacted]
Reference Contact Email	[Redacted]
Project Name	[Redacted]
Number of Courts and Users Involved	[Redacted]

Information Requested	Response
Contract Size (approximate total cost)	[REDACTED]
Description of the Solution Implemented / Scope of Services Provided	[REDACTED]
Project Start Date	[REDACTED]
Project End Date (Planned, Actual)	[REDACTED]
Implementation Challenges and How Offeror Addressed these Challenges	[REDACTED]

Information Requested	Response
	[REDACTED]
Offeror's Project Manager	[REDACTED]
Offeror's proposed eFileTexas 2.0 Key Implementation Team Members and their Roles on this Project, including subcontractors / partners	[REDACTED]
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	[REDACTED]

**Proprietary and Confidential – Subject to Restrictions on Disclosure.**

Information Requested	Response
Reference Organization Name	[REDACTED]
Reference Organization Primary Function	[REDACTED]
Reference Contact Name and Title	[REDACTED]
Reference Contact Telephone Number	[REDACTED]
Reference Contact Email	[REDACTED]

Information Requested	Response
Project Name	[REDACTED]
Number of Courts and Users Involved	[REDACTED]
Contract Size (approximate total cost)	[REDACTED]
Description of the Solution Implemented / Scope of Services Provided	[REDACTED]
Project Start Date	[REDACTED]
Project End Date (Planned, Actual)	[REDACTED]
Implementation Challenges and How Offeror Addressed these Challenges	[REDACTED]
Offeror's Project Manager	[REDACTED]
Offeror's proposed eFileTexas 2.0 Key Implementation Team Members and their Roles on this Project, including subcontractors / partners	[REDACTED]
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	[REDACTED]

Proprietary and Confidential – Subject to Restrictions on Disclosure.

Information Requested	Response
Reference Organization Name	[REDACTED]
Reference Organization Primary Function	[REDACTED]
Reference Contact Name and Title	[REDACTED]
Reference Contact Telephone Number	[REDACTED]
Reference Contact Email	[REDACTED]
Project Name	[REDACTED]
Number of Courts and Users Involved	[REDACTED]
Contract Size (approximate total cost)	[REDACTED]
Description of the Solution Implemented / Scope of Services Provided	[REDACTED]
Project Start Date	[REDACTED]
Project End Date (Planned, Actual)	[REDACTED]
Implementation Challenges and How Offeror Addressed these Challenges	[REDACTED]

Information Requested	Response
	[REDACTED]
Offeror's Project Manager	[REDACTED]
Offeror's proposed eFileTexas 2.0 Key Implementation Team Members and their Roles on this Project, including subcontractors / partners	[REDACTED]
Indicate whether a proposed subcontractor or partner was part of this project and how you worked together successfully	[REDACTED]

**Proprietary and Confidential – Subject to Restrictions on Disclosure.**

**2.5 Project Team Personnel**

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

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

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

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

Tyler has more than 26,000 successful installations across more than 10,000 sites, with clients in all 50 states, Canada, the Caribbean, Australia, and other international locations. Tyler is one of the few information technology organizations whose sole business focus is the government sector. We understand the importance of supporting our clients’ mission-critical systems and maintaining the confidentiality of related court information.

Tyler is uniquely positioned to partner with the OCA and JCIT in this important initiative for the State of Texas. As the existing eFileTexas solution provider and the country’s leading provider of all types of automation for courts, Tyler is the best situated to help the State of Texas transition from eFileTexas to



eFileTexas 2.0. Tyler possesses a decorated history with several successful statewide projects, that involve an eFiling manager, a document access system, a forms assembly solution, a redaction solution, several electronic filing service providers and case management system, as well as the integration among these numerous disparate systems. With an existing solution that meets a large portion of the RFO's requirements, Tyler seeks to continue operating as the single source for the comprehensive list of products contained within the RFO and to enhance these offerings to attain the added functionality of eFileTexas 2.0.

### **Resources and Staffing**

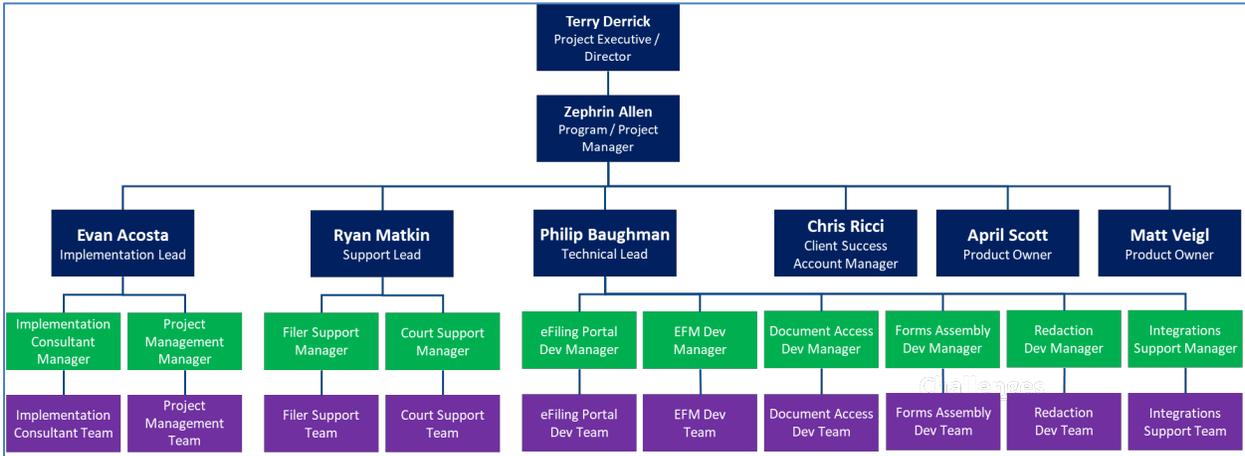
Tyler's approach to assigning the project team personnel will be unique, due to the fact that the state will not need to re-implement the District and County Courts in each of the 254 counties, as well as the 111 Justice Courts that are already live today. This eliminates the significant and laborious effort associated with aligning these Courts, clerk's offices and legal professional communities towards a massive, statewide implementation project. For this reason, Tyler's project team personnel will be focused on the implementation of new features and functionality defined in the eFileTexas 2.0 RFO, as well as the implementation of additional Justice Courts and the Juvenile cases (if and when we are directed by the OCA).

To ensure optimal performance throughout the engagement, Tyler will enlist the best and brightest personnel. Tyler has the depth and experience to staff a flexible project team, incorporating roles that change and levels of effort that fluctuate throughout the project's lifecycle. Tyler will develop a staffing plan incorporating the right number and type of people with the appropriate skills, background, and Texas experience to fulfill the project requirements for rapid deployment.

A project of this size and scope requires a significant team to successfully achieve the scope requirements of eFileTexas 2.0. Tyler assigns project personnel based upon several factors including availability and in consideration of any unique elements of a particular project; therefore, Tyler is unable to determine with certainty at this time every project team member to be ultimately assigned to the project, throughout its duration. One of the keys to a successful project is to have a strong project leadership team that is dedicated and focused to the success of the engagement. This project leadership team consists of a Project Executive, Project Manager, Client Success Account Manager, Technical Lead and an Implementation Lead. Tyler's project leadership team that will be assigned to the eFileTexas 2.0 project are listed in Table 19 in Section 2.5.1 Key Implementation Services Team Members.

To help gain an appreciation of this leadership team and their respective scope of leadership with regards to the eFileTexas 2.0 project, an organizational chart is listed below.

Figure 2.5-1 – eFileTexas 2.0 Organizational Chart



Tyler understands that situations may occur over the life of the project, which can require the replacement of a project team member. Fortunately, Tyler has spent the last 7+ years operating as the partner of the OCA and the software provider for the eFileTexas program. This lengthy duration has provided numerous team members within Tyler to gain experience with the State of Texas, the eFileTexas program and associated processes. Should an event transpire, which requires a project team member to no longer be available to participate in the project, Tyler has incredible team members who can step in to provide continuity and ensure the project remains on track for success.

2.5.1 Key Implementation Services Team Members

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

Table 19: Key Implementation Services Team Members

Information Requested	Name of Individual and Roles / Responsibilities
Project Manager	<b>Zephrin Allen</b> – Provides direction and guidance to all project teams for their respective areas of expertise, to ensure project objectives are met in accordance with the agreement.
Project Executive / Director	<b>Terry Derrick</b> – Provides executive oversight on the project. Sets priorities, resolves conflict and makes tradeoffs.
Technical Lead	<b>Philip Baughman</b> – Provides technical oversight on the project. Ultimately responsible for overseeing all the technical and development organizations including EFM, state provided EFSP, Document Access, Forms Assembly and Redaction. Also responsible for leading the integrations implementation and support organizations.

Information Requested	Name of Individual and Roles / Responsibilities
Implementation Lead	<p><b>Evan Acosta</b> – Oversees the project planning and tracking activities. Responsible for the implementation of new counties (and case types – such as Juvenile) as well as the software deployments to ensure functionality is successfully delivered. This includes the configuration and testing activities to ensure the systems are ready to support the State of Texas.</p>
Other Key Project Lead Role(s)	<p><b>Ryan Matkin – Support Lead</b> – Responsible for overseeing the eFileTexas support team. This includes both the filer support, geared to support the filing community, as well as the court support who focuses on supporting the clerks and courts.</p> <p><b>Chris Ricci – Client Success Account Manager</b> – A concierge that serves as a primary point of contact for the OCA. Responsible for providing administrative support for the OCA.</p> <p><b>April Scott – Product Owner for eFiling Manager, eFiling Portal, Forms Assembly and Redaction solutions</b> – Responsible for the design of all product features requested to enhance the current offerings to eFileTexas 2.0 apart from the document access solution.</p> <p><b>Matt Veigl – Product Owner for Document Access solution</b> – Responsible for the design of all product features requested to enhance the current document access offering to eFileTexas 2.0.</p>

**2.5.2 Key Implementation Services Team Member Experience Overview**

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

**Table 20: Key Implementation Services Team Member Experience**

Information Requested	Response
Team Member Name:	Terry Derrick – General Manager, eSolutions
Team Member Role:	Project Executive / Director
Team Member Years of Experience in Role:	8 years in current role, 15 years at Tyler

Information Requested	Response
<p>Summary Qualifications and Experience of Team Member:</p>	<p>Terry Derrick serves as the General Manager for the eSolutions business of Tyler Technologies and has worked at Tyler for more than fifteen years.</p> <p>Mr. Derrick has served in numerous capacities for Tyler throughout his career and had the opportunity to implement and provide consultation to local county governments and judiciaries, all over the country as a consultant. He has implemented numerous software projects ranging from extremely small county engagements to large scale, statewide implementations.</p> <p>Later in his career, Mr. Derrick transitioned into a management role where he assisted in the development of the implementation strategy and managed implementation consultants for Tyler’s Odyssey product suite. He was instrumental in establishing Tyler’s Internal Training Program for new hires and creating Tyler University, Tyler’s online learning management system. Mr. Derrick later migrated to the eSolutions organization where, as the Program Manager, he oversaw the implementation of the eFileTexas project. In his current position, Mr. Derrick manages the eSolutions business for Tyler.</p> <p>Over the past eight years, Mr. Derrick has been instrumental in successfully leading electronic filing engagements across the country in states like Texas, Illinois, Indiana, California, and Georgia. A few of the more notable, statewide projects are below:</p> <p><b>Electronic Filing, State of Texas</b>, 2012-Present <i>Program Manager / Director</i></p> <p><b>Electronic Filing, State of Illinois</b>, 2016-Present <i>Program Director</i></p> <p><b>Electronic Filing, State of Idaho</b>, 2015–2016 <i>Program Director</i></p>
<p>Team Member Professional Certification(s):</p>	<p>Bachelor of Business Administration in Management Information Systems – Texas A&amp;M University</p>

Information Requested	Response
<p>Team Member Name:</p>	<p>Zephryn Allen – Director of Professional Services, eSolutions</p>
<p>Team Member Role:</p>	<p>Program Manager</p>

Information Requested	Response
Team Member Years of Experience in Role:	4 years in current role, 12 years at Tyler
Summary Qualifications and Experience of Team Member:	<p>Zephrin Allen serves as the Director of Professional Services for Tyler’s eSolutions business. Mr. Allen has worked at Tyler for twelve years and has had the opportunity to work in multiple positions during his career at Tyler.</p> <p>Mr. Allen began his career at Tyler as an Implementation Consultant for Tyler’s case management solution during which time he had the opportunity to work with nearly 80 counties across the country ranging from large statewide implementations to small rural counties. After serving as a consultant, Mr. Allen transferred into a Project Management role to assist with implementing eFileTexas across 254 counties in the State of Texas. Mr. Allen continued his Project Management career by managing the implementations of several case management clients utilizing Tyler’s Odyssey solution.</p> <p>Later in his career, Mr. Allen transitioned into a management role by serving as the Program Manager for the eFileIL program to implement electronic filing across the state of Illinois. Mr. Allen currently manages the eSolutions Professional Services organization and ensures successful delivery and execution of all eSolutions engagements nationwide. A few of the more notable projects Mr. Allen has been involved in are below:</p> <p><b>Electronic Filing, State of Louisiana</b>, 2019-Present <i>Program Manager / Director</i></p> <p><b>Electronic Filing, State of Maine</b>, 2019-Present <i>Program Director</i></p> <p><b>Electronic Filing, State of Illinois</b>, 2016–Present <i>Program Manager</i></p> <p><b>Electronic Filing, State of Texas</b>, 2012-2015 <i>Project Manager</i></p>
Team Member Professional Certification(s):	Bachelor of Science, Criminal Justice University of North Texas

Information Requested	Response
Team Member Name:	Philip Baughman – Director of Software Engineering, eSolutions
Team Member Role:	Technical Lead
Team Member Years of Experience in Role:	8 years in current role, 26 years at Tyler
Summary Qualifications and Experience of Team Member:	<p>Philip Baughman serves as the Director of Software Engineering for the eSolutions business within Tyler Technologies and has worked at Tyler for twenty-six years.</p> <p>Mr. Baughman's tenure at Tyler has been exclusively in the Courts &amp; Justice division, with a focus on Courts centric applications and integrations. He began the first decade of the millennia as one of three technical leads for the Odyssey Case Management System, playing a pivotal role in key architectural and product innovations and a heavy emphasis on providing robust integration capabilities.</p> <p>In 2012 Mr. Baughman transitioned to Tyler's eSolutions unit to deliver upon the ambitious goals of eFileTexas, where he was instrumental in bringing the high degree of integration to fruition in both technical and business terms. In his current position he oversees product development for all of eSolutions while remaining engaged with Tyler's engagements across the country. Mr. Baughman has led the technical portion of some of Tyler's largest engagements and participates in several technical committees. Some of the more noteworthy are listed below:</p> <p><b>Electronic Filing, State of Texas</b>, 2012-Present <i>Technical Director</i></p> <p><b>Electronic Filing, State of Illinois</b>, 2016-Present <i>Technical Director</i></p> <p><b>OASIS ECF Technical Committee</b>, 2016-Present <i>Secretary, Contributing Editor</i></p> <p><b>IJIS Springboard ECF 4.01 Certification</b> <i>Executive Sponsor</i></p>
Team Member Professional Certification(s):	Bachelor of Science Computer Science University of North Texas

Information Requested	Response
Team Member Name:	Chris Ricci – Sr. Client Success Account Manager, eSolutions
Team Member Role:	eFileTexas Client Success Account Manager
Team Member Years of Experience in Role:	2 years in current role, 8 years at Tyler
Summary Qualifications and Experience of Team Member:	<p>Chris Ricci serves as a Senior Client Success Account Manager for the eSolutions group at Tyler Technologies and has been with Tyler since 2012. Mr. Ricci started his time with Tyler in Odyssey Case Management Support before moving into a Client Success Account Management (CSAM) role. He then spent five years as an Odyssey CSAM for the State of Texas, managing and overseeing the client experience. Throughout his tenure in this role, Mr. Ricci managed accounts for 64 of the 88 Odyssey implemented counties in Texas and is well versed in many aspects of Texas government and procedures. He also had the opportunity to manage the relationship for some of the larger Texas counties including Harris, Travis, and Fort Bend.</p> <p>In 2018, Mr. Ricci transitioned to the eSolutions team, where he currently serves as a Senior Client Success Account Manager for the eFileTexas project. In this capacity, Mr. Ricci operates as the primary support contact for the OCA. A few of Mr. Ricci's more notable engagements include:</p> <p><b>Electronic Filing, State of Texas</b>, 2019-Present <i>Sr. Client Success Account Manager</i></p> <p><b>Electronic Filing, State of Maryland</b>, 2018-Present <i>Sr. Client Success Account Manager</i></p> <p><b>Electronic Filing, State of Minnesota</b>, 2018–Present <i>Sr. Client Success Account Manager</i></p> <p><b>Electronic Filing, State of Louisiana</b>, 2019–Present <i>Sr. Client Success Account Manager</i></p>
Team Member Professional Certification(s):	HDI Certified Customer Support Professional

Information Requested	Response
Team Member Name:	Evan Acosta – Senior Manager, Client Success
Team Member Role:	Implementation Lead
Team Member Years of Experience in Role:	1 year in the current role, 8 years at Tyler
Summary Qualifications and Experience of Team Member:	<p>Evan Acosta is the Senior Client Success Manager for the eSolutions organization and has been with Tyler for nearly eight years. During his time as consultant, he was involved in more than 100 successful Odyssey File &amp; Serve engagements in states such as Texas, California, and Idaho. He has assisted numerous clients, both large scale and small, in using application functionality in both Odyssey and Odyssey File &amp; Serve to streamline business processes and improve efficiencies for clients transitioning to paperless environments.</p> <p>Further along in his career, Mr. Acosta moved into a management role where he supervised the implementation team, execution, and delivery of eSolutions products across the nation. Mr. Acosta was also responsible for leading the eFileTexas criminal rollout, overseeing an implementation team to ensure the projects were successfully completed in accordance with the Supreme Court mandate.</p> <p>In Mr. Acosta's current role, his responsibility is to oversee a project's successful transition from professional services to the client success team, develop tailored, strategic product improvement plans to meet clients' evolving business needs and manage client overall relationship satisfaction. Some of the engagements Mr. Acosta has assisted with include:</p> <p><b>Electronic Filing, State of Texas, 2012-2019</b>            - Senior Implementation Specialist, civil mandate            - Implementation Manager, criminal mandate</p> <p><b>Electronic Filing, State of California, 2014-2016</b>            Senior Implementation Specialist</p> <p><b>Electronic Filing, State of Idaho, 2015-2016</b>            Senior Implementation Specialist</p> <p><b>Electronic Filing, State of Illinois, 2017-2019</b>            - Lead Implementation Consultant, Cook County e-filing mandate            - Implementation Manager for criminal e-filing rollout</p>

Information Requested	Response
Team Member Professional Certification(s):	Currently pursuing Bachelor of Science in Information Science – University of North Texas

Information Requested	Response
Team Member Name:	Ryan Matkin – Director of Support, eSolutions
Team Member Role:	Support Lead
Team Member Years of Experience in Role:	18 months in current role, 15 years at Tyler
Summary Qualifications and Experience of Team Member:	<p>As a Director of Support with Tyler Technologies, Ryan Matkin oversees all staff responsible for supporting clients who are live on eSolutions' products within the Courts &amp; Justice division. Mr. Matkin has over 15 years of experience with Tyler Technologies, implementing software for government agencies and managing Professional Services and Support teams for multiple product lines and divisions. In his time with Tyler Technologies, Mr. Matkin has gained the expertise required to leverage technology in simplifying processes and gaining efficiencies for State and County governments and the citizens they serve.</p> <p>Mr. Matkin started his career with Tyler Technologies as an Implementation Consultant focused on application configuration, training, and business process engineering with Courts and Justice software implementations. For five years, Mr. Matkin implemented integrated justice solutions in large and small counties, as well as state-wide case management solutions. For the next ten years, he operated in various management roles across Tyler, including time served as the Director of Implementation, Director of Professional Services, and now the Director of Support. He is focused exclusively on maintaining and optimizing reliable and effect customer support for all eSolutions products within Courts &amp; Justice for Tyler.</p>
Team Member Professional Certification(s):	Bachelor of Business Administration in Management Information Systems – Texas A&M University

Information Requested	Response
Team Member Name:	April Scott – Product Owner - eSolutions
Team Member Role:	Technical Lead
Team Member Years of Experience in Role:	2 years in current role, 8 years at Tyler
Summary Qualifications and Experience of Team Member:	<p>April Scott is the Product Owner for the e-Filing platform for Tyler’ eSolutions business and has worked for Tyler for eight years.</p> <p>Mrs. Scott’s tenure at Tyler has been exclusively on the eSolutions team and has spanned nearly every team within the group. The first six years of her career were spent supporting Courts across the country in various roles. She began her time with Tyler as a member of the Filer Support team, working exclusively with filing communities across the country, as well as other front-end users of the eFiling application. Mrs. Scott then helped establish the Court Support team where she led the effort to create processes, documentation, training, and tools. Her presence was instrumental in expanding this team, prior to transitioning to a Client Success Account Manager role.</p> <p>In 2018, Mrs. Scott assumed the eSolutions Product Owner position, where she currently resides and oversees the vision and accompanying functional product development roadmap for all aspects of Tyler’s e-Filing business. This includes regular collaborations with steering committees that span Tyler’s client base as well as engaging with her Odyssey Case Management counterparts to ensure continuity between Tyler products. Mrs. Scott also interacts with eSolutions colleagues daily to lead the product analysts and development teams to execute upon the product vision and meet the needs of the marketplace.</p>
Team Member Professional Certification(s):	Certified Product Owner - 2019

Information Requested	Response
Team Member Name:	Matt Veigl – Senior Product Manager, eSolutions
Team Member Role:	Product Owner
Team Member Years of Experience in Role:	3 years in current role, 6 years at Tyler
Summary Qualifications and Experience of Team Member:	<p>Matt Veigl serves as a Senior Product Manager for the eSolutions business of Tyler Technologies and has worked at Tyler for 6 years.</p> <p>When Mr. Veigl joined Tyler Technologies, he first contributed as an analyst and designer for the Odyssey File &amp; Serve HTML 5 solution. Mr. Veigl was instrumental in building Tyler’s re:Search solution, which serves as the document access solution for eFileTexas today. He was also involved in designing and implementing the redaction solution built into the Odyssey File &amp; Serve and re:Search solutions.</p> <p>Mr. Veigl now oversees the design and development of functionality within the re:Search solution for Tyler.</p>
Team Member Professional Certification(s):	<p>User Experience Design Certification – Southern Methodist University</p> <p>Bachelor of Arts in Media Arts – University of North Texas</p>

### 2.5.3 Key Implementation Services Team Member Résumés

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

*Information provided in each résumé should clearly identify the following:*

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

Resumes for Tyler’s Key Implementation Services Team Members are included on the following pages. These detailed employee resumes are Proprietary and Confidential – Subject to Restrictions on Disclosure.

*Terry Derrick, General Manager, eSolutions*

[Redacted]

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[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

*Zephrin Allen, Director of Professional Services, eSolutions*

[Redacted]

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[Redacted]

[Redacted]

[Redacted]

[Redacted]

*Philip Baughman, Director of Software Engineering, eSolutions*

[Redacted]

*Christopher Ricci, Sr. Client Success Account Manager, eSolutions*

[Redacted]

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[Redacted]

[Redacted]

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[Redacted]

*Evan Acosta, Senior Manager, Client Success - eSolutions*

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*Ryan Matkin, Director of Support, eSolutions*

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*April Scott, Product Owner, eSolutions*

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[Redacted]

*Matt Veigl, Senior Product Manager, eSolutions*

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## 2.8 Business Disputes and Outstanding Litigation

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

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

No judgments have occurred against Tyler within the past five (5) years. There is one (1) currently pending litigation matter involving the proposed solution, which is set forth below:

- *Levine v. Scott et al.* (DeKalb County Superior Court, GA, No. 19-CV-7832): On September 25, 2019, Tyler was served in the above-captioned proceedings. The plaintiff is an individual seeking declaratory and injunctive relief for alleged racketeering and conspiracy to commit racketeering claims. His suit names twelve co-defendants along with Tyler, most of whom are officials from various Georgia state courts. As best can be understood from the complaint, the allegations stem from Mr. Levine's complaints about the results of various court proceedings and court rulings against him. Tyler had no involvement in any of those proceedings or rulings, and the only alleged connection between Tyler and the complaint appears that certain filings were entered using a Tyler electronic filing solution. Tyler is very confident that any claims against it, to the extent any claims are even pled against Tyler, are meritless and warrant dismissal.

Other pending litigation matters involving other products and or services potentially responsive to this request are set forth below:

- *Kern County v. Tyler Technologies, Inc.* (Superior Court of California, County of Kern, Case No. BCV-20-101197): On May 21, 2020, Tyler was served with the above-captioned lawsuit. Kern County's complaint includes allegations of breach of contract and related tort claims and violations of state business statutes. Tyler strongly disputes those allegations. Our goal has consistently been to help Kern County justice partners benefit from software solutions that integrate with Tyler's case management solution, which is being implemented at the Kern County Superior Court. Tyler has been, and remains, ready, willing, and able to deliver on our contract. We are disappointed that Kern County justice partners have chosen to engage in misplaced litigation rather than work with us to complete the project and maximize the benefits of taxpayers' investment. We hope the county will choose to engage with us productively and we look forward to refuting the misinformation and misguided allegations included in their complaint.
- *Kohlmann v. Tyler Technologies, Inc. et al.* (N.D. Cal., Case No. 20-CV-00861): On January 7, 2020, Tyler was served in the above-captioned proceedings. Plaintiff is a former Tyler employee who alleges she was terminated because Tyler refused to accommodate, and discriminated against her on the basis of, a medical condition. She alleges various state-law claims. Tyler strongly disputes her contentions and believes each claim is fundamentally flawed. For example, Tyler went out of its way to accommodate and support her during her onboarding training with the company. Despite Tyler's efforts, plaintiff failed her standardized assessments and, as such, her employment with the company was terminated. Tyler looks forward to a favorable resolution of the lawsuit.

- *Kudatsky v. Tyler Technologies, Inc.* (N.D. Cal., Case No. 19-CV-07647): On December 6, 2019, Tyler was served in the above-captioned proceedings. The single plaintiff claims to represent a class of similarly situated persons. The single plaintiff claims that class is comprised of all persons Tyler employed as “Implementation Reps” from November 2016-November 2019 in the United States and/or specifically in the State of California. The single plaintiff alleges various claims under federal and state law, all going to his argument that “Implementation Reps” were improperly classified as exempt from applicable overtime wage laws. Tyler is evaluating whether the court even has jurisdiction over plaintiff’s claims, and even if it does have jurisdiction, whether the plaintiff has properly alleged a putative class. At a substantive level, Plaintiff’s claim is misplaced. Tyler looks forward to a favorable resolution of the lawsuit.
- *ExecuTime FLSA Lawsuits* (United States District Court for the Northern District of Georgia): Two former implementation consultants from Tyler’s ExecuTime business unit filed separate overtime wages actions under the Fair Labor Standards Act. Each plaintiff is represented by the same lawyer and makes substantially the same allegations. The first lawsuit, *Greene v. Tyler Technologies, Inc.* (Case No. 19-cv-1338) was filed on March 26, 2019. The second lawsuit, *Wright v. Tyler Technologies, Inc.*, (Case No. 20-cv-00836) was filed on February 24, 2020. Each Plaintiff alleges that they were improperly classified as exempt from the FLSA’s maximum hour provisions. They each allege Tyler should not have paid the annual salary it paid each of them, but should instead have paid each of them an hourly wage and overtime. The claims are each misplaced, and Tyler looks forward to a favorable resolution of each lawsuit.
- *Stern v. Snohomish County, d/b/a Snohomish County 911 (“Sno911”) et al.* (Snohomish County Superior Court, State of Washington, No. 18-2-05901-31): On January 24, 2019, Darrin Stern, a former employee of Sno911, a Tyler client in live production on the New World Public Safety software, added Tyler to a lawsuit already pending by Mr. Stern against Sno911. Mr. Stern alleges that Sno911 discriminated against him by failing to accommodate his alleged disability – color-blindness. He alleges a single claim against Tyler: that Tyler aided and abetted Sno911’s discrimination against, and wrongful discharge of, Mr. Stern. Tyler had no role in Sno911’s employment decisions relating to Mr. Stern. For that and other reasons, Tyler is confident that Mr. Stern’s claims against Tyler are meritless.
- *Alleged Class Action in the Western District of Tennessee*: On January 9, 2017, a lawsuit was filed against Tyler, Shelby County, Tennessee, and various Shelby County officials in a federal district court in Tennessee. That lawsuit was consolidated with a November 2016 lawsuit that had been filed against the Shelby County Sheriff alone. The consolidated complaint, filed March 24, 2017, alleges that Shelby County and officials in the County unlawfully detained certain inmates in the County jail. Tyler implemented its Odyssey case management system in Shelby County courts, but the lawsuit tries to claim that Tyler’s software was somehow connected to the allegedly unlawful detentions in the County jail. On October 31, 2017, another class action lawsuit, alleging almost identical facts and claims against the same group of defendants, was filed by a second set of plaintiffs’ lawyers on behalf of a second set of alleged class action plaintiffs. Tyler successfully moved for the second-filed suit be consolidated with the first. Since that time, the consolidated plaintiffs have filed multiple amended complaints. Tyler moved to dismiss the lawsuit, and that motion was granted in part, leaving only one claim pending against Tyler. Tyler is confident in its defense against that claim.

- *Tyler Technologies, Inc. v. Force Multiplier Solutions, Inc. et al.*: On August 8, 2017, Tyler sued Force Multiplier Solutions, Inc. and affiliated entities in a Texas state court for breach of contract and related equitable claims. FMS is a reseller of certain Tyler school products. Despite Tyler's various attempts to secure payment, the FMS entities have refused to satisfy an outstanding receivable in excess of \$200,000. Tyler brought the lawsuit to enforce its contractual right to payment. The court granted summary judgment in Tyler's favor.

## 2.9 Mergers and Acquisitions

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

There are no announced sales, mergers, or acquisitions relevant to the scope of eFileTexas 2.0. As a publicly traded company, Tyler cannot comment on any planned, but unannounced, sales, mergers, or acquisitions.

Within the past eighteen (18) months, Tyler has made the following acquisitions:

- SceneDoc (December 2018)
- MicroPact (February 2019)
- MyCivic (February 2019)
- Courthouse Technologies (October 2019)

These acquisitions are related to other products and services Tyler offers, and will have no impact to the eFiling product. The impact to the organization is an expansion of Tyler's offerings and a strengthening of its market position.

## 2.10 Conflicts of Interest

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

None.

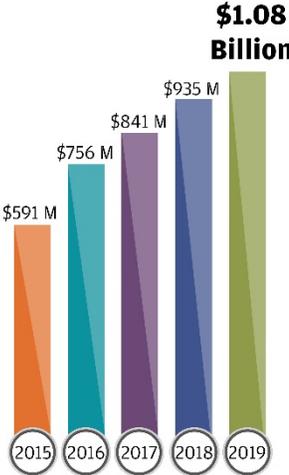
### 2.11 Financial Solvency and Insurance Information

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

Tyler consistently maintains a solid balance sheet and strong cash flow and low debt, experiencing consistent revenue growth with 29 consecutive quarters of profitability, and a total revenue for 2019 of \$1.08 billion. While experiencing significant growth opportunities from an increase in staff and expanding territories, we anticipate additional product offerings and new technology will accelerate this growth substantially in the future. We believe a debt-free balance sheet, substantial cash reserves, and a committed customer base put Tyler in a great position in our industry to weather any unexpected turbulence in the economy. As a publicly traded company, all financial statements are released in accordance with SEC regulations.

Please refer to <http://investors.tylertech.com/> for financial assurance of company performance and additional revenue information.

Tyler’s 2019 Annual Report and Certificate of Liability Insurance are included in the Appendix section.



### 3. Solution Overview

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

As the eFileTexas solution provider and the country's leading supplier of all types of automation for courts, Tyler is the best positioned to help the State of Texas transition to eFileTexas 2.0. Tyler's track record is unmatched in the courts & justice space, with several successful statewide eFiling and Case Management System implementations. These successes have permitted Tyler to acquire the experience necessary to implement a project of this magnitude and complexity.

Tyler's comprehensive suite of applications meets all of the requirements of this RFO, allowing Tyler to propose a single vendor solution. By minimizing the number of differently owned systems incorporated into the program, the State of Texas will reduce the risk of integration failures, while focusing on ensuring the Texas courts system operates efficiently. Each of Tyler's applications are built to meet the needs of certain stakeholders. Together, they make a powerful offering that digitally connects these stakeholders to provide the best solution available for the eFileTexas 2.0 program. However, Tyler's offer in this proposal is much broader than just the software solutions as it also includes Tyler's proven methodology, vast experience, and comprehensive support services to ensure a successful, sustainable program.

Over the past seven years, Tyler has partnered closely with the State of Texas to deliver and continuously enhance eFileTexas, increasing the program's value each year. Tyler has demonstrated its flexibility in helping the State achieve its vision, with innovative solutions such as the sophisticated fee split program utilized by the Appellate and Supreme Courts, the technology standards used to establish uniformity among the filing community and the court-use only codes to accommodate the unique business practices of clerks across the state. Tyler's willingness to partner during the engagement was evident through the program's modification to include the preferred service email addresses from attorneys via a nightly feed from the State Bar of Texas and the creation of the eFileTexas branding kit to assist clerks with promoting the eFileTexas program to their local constituents. As the State of Texas looks to take the next step with the eFileTexas program, Tyler is confident that our proposed solution will best meet the needs of the State, enhancing the solution and providing enormous value to all stakeholders for years to come.

#### 3.1 Implementation Overview

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

As the incumbent solution provider, Tyler is uniquely positioned to meet the objectives and requirements of the eFileTexas 2.0 project. During the initial eFileTexas project, counties across the state collected over \$18.4mil (from the \$2 technology fee) to help fund the integrations needed with their local case management systems to make the project a success. With the courts live on the program and the third-party integrations already established with eFileTexas, the State will not have to be concerned with the costly migration to another solution.

In addition to the cost savings benefit from selecting Tyler, the State will avoid repeating the laborious and complex task of implementing an eFiling program to all 254 counties and 111 Justice Courts. Tyler's

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focus for eFileTexas 2.0 will be on improving the user experience by enhancing the existing solution's capabilities. Tyler's approach will be heavily influenced by the experience acquired through the initial eFileTexas project, as well as other statewide eFiling projects Tyler has implemented across the country. The implementation approach will begin with the project initiation phase, followed by a series of iterative cycles, each containing multiple activities to provide new features for the eFileTexas user community. The project will conclude with a closeout phase, followed by the transition to production services. Utilizing this multi-cycle, iterative approach will allow the State of Texas to continue providing critical eFiling services without disruption during the project implementation. A high-level project schedule diagram, which aligns with the approach included in the RFO, may be found in Section 4.1.2 as Figure 4.1.2-3.

## 3.2 Products/Components Overview

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

Tyler's proposed solution includes the required applicational components contained within the RFO, all of which are owned and operated by Tyler, to provide an efficient and simple solution that is geared towards success.

**Odyssey File & Serve (OFS)** – Tyler's OFS is comprised of the Electronic Filing Manager (EFM), and two micro-applications in the state-provided EFSP (OFS EFSP) and Clerk Review Portal (OFS Review Tool). These 3 facets of this solution come together to offer a compelling electronic filing and service experience for legal professionals and clerks.

**OFS EFSP** – Tyler's WCAG 2.0 AA compliant EFSP allows all filers to easily file, and serve, court records and documents. Filers receive notifications informing them of the filing action taken by the clerk, and file stamped copies of their successfully filed documents. In addition to eService, filers may choose to leverage Tyler's mail-service functionality to send service via the United States Postal Service.

With this device-agnostic solution, filers may create templates of frequently filed criteria to expedite the filing process and download reports for financial reconciliation. Filers may manage accounts, including payment options, authorized firm users and contact information directly from the user interface. Tyler's EFSP utilizes localization to provide filers with customer-specific instructions on how to eFile and to support filers of a different languages, such as Spanish, to provide eFiling to everyone.

**EFM** – Tyler's EFM leverages the industry standard Electronic Court Filing (ECF) framework to provide an open architecture for integrating with several third-party solutions. The EFM serves as the hub through which these systems interoperate, providing common services such as: identity management, authorization, payment processing, and traffic routing. The EFM focus on traffic management affords other solutions the ability to focus on providing value to their constituent users.

The EFM also handles all email notifications for the eFileTexas program, including eService, to ensure the notifications are delivered reliably and in a consistent manner. Tyler's EFM provides the ability to "white-label" the filing notifications when the filing is submitted through a third-party provider, so that they appear to come from the filer's EFSP, helping create brand loyalty and combating confusion.

**OFS Review** – Tyler's Review tool provides the functionality for clerks to receive, review and efficiently manage eFiled documents. Clerks can perform various actions on the filing such as stamp, annotate,

accept, and reject during review, or pause the review to save the changes and take a break. During review, clerks may easily compare the information provided by the filer with the content of the document and provide feedback to the filers if the filing must be returned for correction. The system groups filings within an envelope to provide clerks with a simple view of the transaction and clerks can perform the same action across multiple filings or different actions on each filings, within an envelope.

Clerks may also configure custom conditions, which will allow the system to automatically route envelopes to specific work queues, based on the envelope's criteria. Envelopes can even be automatically accepted if the filings meet the clerk's specific business conditions, saving valuable time. Accepted envelopes are electronically file stamped within the review tool, then delivered to the appropriate, local CMS and party who submitted the envelope. After acceptance, clerks may use the built-in, electronic checklist to ensure subsequent, back-office processes are followed for each envelope.

**Tyler Redaction** – Tyler Redaction provides a quick, easy, and reliable way to identify and redact confidential data from electronic documents. The automated redaction service rapidly identifies redaction candidates utilizing metadata, keywords, patterns, and artificial intelligence, while providing filers the ability to modify the system's redaction candidates to ensure the sensitive data is removed. Tyler Redaction supports all sensitive data elements, as defined by the rules in the State of Texas.

With its availability inside OFS, clerks may see the redaction candidates during the review process and when redactions are "burned in", the candidates are completely removed from the document. eFileTexas can be configured to distribute only the final, redacted version, or both the original and the redacted versions, allowing courts to select which document versions will be sent to their local CMS.

**Odyssey Guide & File (OGF)** – Tyler's OGF enables the State to develop interview style questionnaires that help guide filers through the filing process and automatically assembles the appropriate forms for filing. This solution simplifies the filing process and enables the Courts to better enforce their eFiling rules. Additionally, the documents generated by OGF are simpler for the Court to process, due to being complete and legible. The application provides multiple self-service capabilities and is designed to utilize Plain Language to reduce the complexity of the legal system for self-represented litigants.

Questions and contextual help information are displayed based on the filer's selections and are only displayed at the appropriate time, minimizing unnecessary distractions throughout the process. The forms assembly solution is integrated seamlessly with OFS, allowing users to electronically submit their resulting forms directly to the clerk.

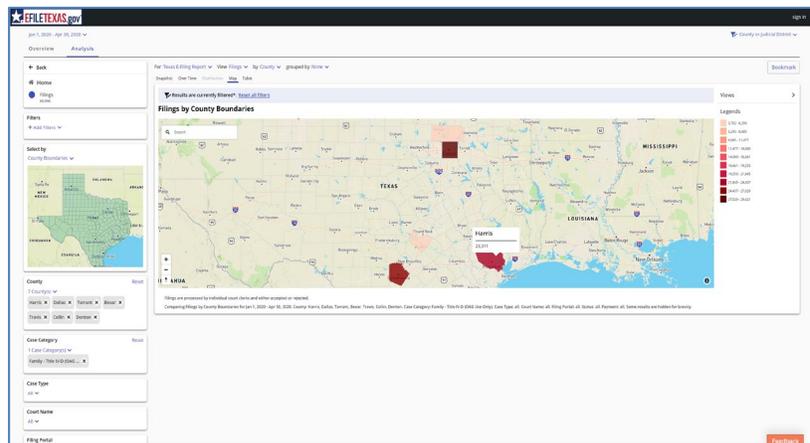
**Re:Search** – Tyler's re:Search is an online portal which provides immediate and secure access to a consolidated database of court records to authorized users. Re:Search provides licensed attorneys, judges, clerks, legal professionals, and other registered users a simple, consistent way to view and obtain case information and documents from counties across the state.

Re:Search integrates with local CMS applications to access court records and provide an efficient way to share important case information, at any time and from any device. The solution offers courts an increased opportunity for increased revenue while improving access for their constituents and reducing the need for paper. Re:Search also supports courts who are unable to integrate their local CMSs, providing a comprehensive document access system for the State of Texas. For an integrated court, OFS will push the case metadata to re:Search upon the acceptance of an eFiled document by a clerk. If the authorized user must pay for the documents, re:Search accommodates the payment transaction.

Users have the ability to filter searches to specific criteria to locate the record they seek and use a variety of tools such as folders, in-document text searching, saved searches and exported search results to create an incredible user experience. With re:Search, the case’s register of actions, filing history, and documents are live artifacts managed directly by the courts, bringing records from across the state to a single, comprehensive solution.

**Socrata** – Tyler’s Socrata application will operate as the eFileTexas active reporting engine. Socrata’s active-tile dashboard offers authorized users valuable, summary-level insights into eFiling data across the state, with metrics such as envelope count, filing count, return for correction rates and clerk response times. Clicking on the interactive tiles “drills into the data” for greater visibility and the information may be broken down further with filters such as county, case categories, case types, EFSP, status and more. Users may also sort the graphical display to best meet their needs. The data can also be exported into a CSV file to view it in a different manner or incorporate it into another data set.

Socrata will also serve as the supervisory dashboard for clerks, allowing clerks to better manage their office and personnel. Supervisors can view the summary-level performance of their office, evaluating incoming envelopes, envelopes worked, acceptance rates, clerk response times and more. The dashboard affords a deeper dive into the information to acquire additional insights and results can be filtered by various parameters. Additional sort options provide a way to obtain a different perspective and an export of the data is a few clicks away, granting supervisors incredible access into their office’s performance. The dashboard also provides supervisors the ability to view their staff’s performance including number of filings processed, acceptance rates, duration to work envelopes and more.



### 3.3 System Architecture and Technology

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

Tyler’s EFM serves as the backbone of the eFiling program and acts as the central “hub” or foundation from which all additional components are built. In this model, the EFM manages the transfer of electronic case data and documents between other systems and provides cores services such as identity and access control, workflow, integration services and electronic service delivery. The EFM partners with EFSPs, CMSs, forms assembly programs, document access solutions and reporting applications.

The EFM employs a stateless, N-tier, componentized architecture. This architecture provides the ability to scale each tier independently to handle the load on each part of the system, and also contributes to the overall security of the system by enforcing network separation between internet-facing and internal

resources. The system has a defense-in-depth approach to security, where multiple layers and techniques are used to restrict access to the hosting infrastructure and protect data, both in transit and at rest. The eFiling solution is hosted in AWS GovCloud regions, where physical access to the datacenters is restricted to authorized personnel for specific purposes with the principle of least privilege, logged and monitored. The system uses technical controls including data security in transit via HTTPs (TLS 1.2), data security at rest via encryption and policies limiting access, SOAP message signing via X509 certificates and automated intrusion detection systems to identify, and block malicious traffic. In addition, Tyler implements policies to restrict system access to authorized, trained personnel and operational access is handled through access-controlled tools.

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

Tyler has been providing cloud hosted solutions in AWS since 2012 and proposes hosting the eFileTexas program in AWS GovCloud regions, due to the enhanced security policies, the ability to provision infrastructure dynamically, and the range of services/tools available to support the system. Tyler's proposed system will be defined in a Virtual Private Cloud (VPC), which provides a logical network partition from the public internet. Both, the servers, and services will be distributed across multiple Availability Zones (AZs) that are physically separate hosting facilities within the region, providing geo-redundant backups. Network Security Groups will provide network connectivity between servers and services, based on the principle of least privilege.

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

Tyler's proposed architecture and hosting environment provide for a highly available, scalable, and secure solution with numerous benefits. Redundant capacity at each tier offers high availability through AWS provided services such as Amazon Route53 DNS (100% uptime) and Amazon S3 storage (99.99% uptime). Tyler proposes utilizing multiple servers at each tier, distributed across multiple availability zones within a region and for the database to operate in a master-replica configuration to ensure the secondary database instance is readily available in the event of an issue. The component-based approach provides the flexibility to add capacity and perform system updates in a targeted manner, minimizing the impact to stakeholders and users. It also yields an infrastructure on demand model which allows new servers to be provisioned and introduced within minutes. Finally, this model facilitates a secure model through access restriction based on the principle of least privilege, data encryption in transit and at rest.

Taking payments through an external payment system, which is out of Tyler's operational control, poses a potential risk but will be mitigated by a detailed analysis of the external system to validate the provider's performance and availability.

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

Tyler has included functional and technical diagrams of the proposed program's architecture in the Appendix section of this proposal. Whether it be enhancing the scope of the project to include the State Office of Administrative Hearings and various Justice of the Peace Courts across the state or working through the night or weekend to provide emergency support for the program, Tyler is ready and equipped to offer the solutions and service required to make this project a success.

### 3.4 Requirements Response Workbook

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

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

**Table 21: Requirements Response Workbook Structure**

Tab #	Requirements Response Workbook Tab Title
1	Instructions
2	Requirements

Tyler has provided Attachment C: Requirements Response Workbook on the following pages. If the OCA desires, Tyler can provide an Excel version of Attachment C upon request.

## Attachment C - Requirements Response Workbook

Workbook Instructions and Legend			
<b>Offerors are to follow the instructions below to allow a uniform evaluation of the offers. Insert the appropriate response code within the 'Offeror Response' column for each requirement. Additionally note:</b>			
An omitted response will be assumed to be the same as a response code of "N".			
Only one (1) response per requirement will be accepted.			
Offerors must insert an explanation for how a requirement will be met in the Offeror Comment column when responding with a code of G, C, 3, or F, or if the requirement explicitly requests the Offeror to provide a comment. If Offerors do not provide a comment when explicitly requested, the requirement will be given the lowest evaluation score. Offerors must provide a comment for cells highlighted in yellow in Column G (Offeror Comment). Offeror responses with code O or N do not require explanation.			
Response Option	Offeror Functionality	Definition	Additional Notes
O (OOTB)	Functionality provided as standard	The Offeror provides the functionality from its own code base (i.e., 'out of the box'). No customizing, working around, or configuration is required. The functionality must be installed and operational at other sites and be able to be demonstrated to OCA.	N/A
N (No)	Functionality not proposed	Not included in the proposed solution.	N/A
G (ConfirGuration)	Functionality provided by the Offeror, but requires configuration	The functionality can be accomplished with the Offeror's solution, but some configuration is required (e.g., the requirement will be met through configuration changes to settings of tables, switches, rules, user experience, etc. without modification or customization to the source code).	For this response option, Offeror must indicate the following in the comments column next to this response: 1. Description of configuration 2. Party who will perform the work (Offeror or Client/Other) 3. Estimated level of complexity (Very Complex, Somewhat Complex, Not Complex)
C (Customization)	Functionality provided by the Offeror, but requires customization	The functionality can be accomplished with the Offeror's solution, but some customizing or work around is required. This would include custom code developed to perform specific functions or validations outside the standard code.	For this response option, Offeror must indicate the following in the comments column next to this response: 1. Description of customization 2. Party who will perform the work (Offeror or Client/Other) 3. Estimated level of complexity (Very Complex, Somewhat Complex, Not Complex)
3 (3rd Party Integration)	Functionality provided, but requires integration with third-party solution	The Offeror has established a relationship with a business partner to provide this functionality, which is fully integrated (data, process, application) with the proposed solution. If the proposed solution includes a third party component, the Offeror as the prime must include all initial and on-going costs in its bid.	For this response option, Offeror must indicate the following in the comments column next to this response: 1. Name of the proposed third-party software package 2. Interface/integration services being proposed, including if it requires customization or custom integration development.
F (Future Release)	Functionality provided by the Offeror, but in a future release	The functionality will be met with a particular feature that is in development.	For this response option, Offeror must indicate the following in the comments column next to this response: 1. Explanation of the new feature. 2. Expected date that such a feature will be made available. 3. If the feature will be included within the scope of this project.
Glossary of Terms			
Actors (Roles)	Definition		
Clerk	A Clerk maintains the record of the court; eFiling responsibilities include the review of incoming filings, ensuring that court systems and records correctly include the filing and providing access to that information to internal and external stakeholders/customers.		
Filer	A Filer is a person or firm who files documents with the court using eFiling; filers can be attorneys or non-attorneys. A subtype of Filer is a "Direct Filer" who can file directly to the EFM through an API, without going through an EFSP.		
Firm Administrator	A Firm Administrator is responsible for the configuration and account management for attorneys within a firm.		
Forms Author	An individual who uses the Forms Assembly tool to create a forms template for use by Self Represented Litigants (SRL's) aka Pro se Litigant (see definition below).		
Global Administrator	An administrator who can update configuration settings in the solution that can apply across the solution and all user groups.		
Judicial Officer	Officers of the courts including judges, associate judges, and magistrates.		
Jurisdiction Administrator	An administrator who can update configuration settings in the solution that apply to impacted user groups only within a specific jurisdiction (e.g., within a court).		
OCA	Office of Court Administration		
Pro se Litigant / Self Represented Litigant	Pro se Litigant / Self Represented Litigant is a person who is a party in a case and who has not engaged the services of an attorney for the purposes of representing himself/herself in court (including filing of documents); this person has the ability to file documents via eFileTexas 2.0.		
Public	Members of the general public have access to view filed documents and associated metadata that is deemed publicly available information.		
User	This term is used when the action can be performed by any user in the system, regardless of role.		
Actors (Systems)	Definition		
CMS	Court Case Management System (CMS) that resides at each individual court, which tracks and manages case information and events. The CMS is updated with data and documents from eFiling. Note: Out of scope for the RFO		
eFileTexas 2.0 solution (or Solution)	Offeror shall provide a solution that includes the following: EFM, State EFSP, Document Access, Redaction, and Forms Assembly. All components below are in scope for the RFO.		
EFM	An Electronic Filing Manager (EFM) is the system that accepts electronic documents from filers via EFSPs and direct API integrations, and securely distributes these documents to the appropriate CMS where they can be reviewed and accepted into the CMS of that court by the Clerk. The EFM also serves copies of documents as requested by the filer.		
State EFSP	In addition to commercial EFSPs, the solution includes a 'State EFSP' provided by the EFM offeror for filers not using a commercial EFSP.		

Document Access	Provide access to accepted eFiled documents and associated metadata. Includes capabilities such as Search Documents, View Filing Data, and View Documents.
Redaction	Blocks access to selective protected content within filed documents. Includes capabilities such as Redact Automatically, Redact Manually, and Preview Redaction.
Forms Assembly	Use of standard forms by self-represented litigants to prepare and submit filings to the court. Includes capabilities such as Administer forms for use by pro se litigants, Prepare Forms, and Submit Forms.
EFSP	An Electronic Filing Service Provider (EFSP) is a third party private company which provides eFiling services directly to filers. The EFSPs collect filing information from the filers and transmits the filing to the EFM for subsequent distribution to the CMS, for review and approval by the clerk. Note: Out of scope for the RFO
<b>Prioritization Levels</b>	<b>Definition</b>
High	Required to be implemented by Go Live.
Medium	Highly desired to be implemented by Go Live or at least within three years after Go Live.
Low	Desirable (Optional).
<b>Other Terms</b>	<b>Definition</b>
Jurisdiction	Generally, the scope of a court's powers, including: the geographic region it covers, and its authority to handle a case based on the case's subject matter and/or the potential dollar amount of damages at stake.

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
10	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to initiate a new case when submitting an initial filing (refer to JCIT Technology Standards for a list of filing types on new cases)	High	[REDACTED]	
20	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to search for existing cases when submitting a subsequent filing (refer to JCIT Technology Standards for a list of subsequent filing types)	High	[REDACTED]	
30	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to save in-progress filings for completion at a later time	High	[REDACTED]	
40	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to respond to a series of prompted questions that guide the Filer through the filing process	High	[REDACTED]	
50	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to use a "quick file" option which keeps the number of screens and inputs required to a minimum for simple filings (e.g. Letter of Representation, Vacation Letters, etc.)	Medium	[REDACTED]	
60	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to select the jurisdiction, case type, filing type and other table-driven parameters from configurable, on-screen lists	High	[REDACTED]	
70	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to dynamically enter information according to pre-defined configuration rules (e.g., displaying which fields appear, validating business rules based on selections made or data entered by a Filer such as case type, file type, document type, and/or document format)	High	[REDACTED]	
80	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to set preferences for frequently used information (e.g., "favorite" courts, case types, file types, jurisdiction)	Medium	[REDACTED]	[REDACTED]
90	eFiling Preparation and Submission	Prepare Form Filing	Ability for data entered by a Filer be automatically validated upon data entry to ensure formats are correct for designated fields (e.g., phone numbers, dates, case numbers)	High	[REDACTED]	
100	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to indicate if certain confidential information (e.g., SSN) exists in a document being filed and/or if the entire document is confidential (e.g., Temporary Restraining Order, Mental Health) and make such indications visible to subsequent Clerk reviewers of the filing	High	[REDACTED]	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
110	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to populate contact information on a filing based on information associated to the Filer's account	High	[REDACTED]	[REDACTED]
120	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to indicate the need for an interpreter and/or assistive technology prior to submittal and include the request in information transmitted to the court case management Solution	Low	[REDACTED]	[REDACTED]
130	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to search designate the Attorney of Record at time of filing	High	[REDACTED]	[REDACTED]
140	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to populate a filing with a selected Attorney's profile (e.g., state bar number, bar association email, service address)	High	[REDACTED]	[REDACTED]
150	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Jurisdiction Administrator to configure in the Solution whether Filers are prompted to confirm and/or update their email address at time of filing	Low	[REDACTED]	[REDACTED]
160	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to include both physical and email addresses of service contacts for distribution of service documents and notices to parties	Medium	[REDACTED]	[REDACTED]
170	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to enter an additional email address to receive notifications for each case (e.g., in addition to the service address associated to the State Bar Registry)	High	[REDACTED]	[REDACTED]
180	eFiling Preparation and Submission	Prepare Form Filing	Ability to allow a recipient of the emails described in the above requirement to be able to opt out of further communications by case	High	[REDACTED]	[REDACTED]
190	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Global Administrator or Jurisdictional Administrator to limit and view the number of parties included in a case at State or local levels, respectively (local court jurisdiction limits may apply - see Solution Administration requirements). <i>In the comments, further describe how this requirement would be met.</i>	Low	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
200	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to display and select from a list of all filings to which they are party to, the current status of each filing, and associated dates	High	[REDACTED]	[REDACTED]
210	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to display and select from a list of all cases to which they are party to, the current status of each cases, and associated dates (if the court CMS provides the required interface)	Medium	[REDACTED]	[REDACTED]
220	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to upload a document as part of a filing	High	[REDACTED]	[REDACTED]
230	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to upload multiple documents as part of a filing and be able to select multiple documents at one time for uploading into a filing (as opposed to selecting and uploading individually)	High	[REDACTED]	[REDACTED]
240	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to submit one document filed on multiple cases (e.g., substitution of Attorney on multiple cases, Vacation Letter, Criminal Filings). <i>In the comments please describe how this requirement would be met.</i>	Medium	[REDACTED]	[REDACTED]
250	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to upload multiple file formats in a single filing	High	[REDACTED]	[REDACTED]
260	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to bundle filings of multiple lead documents in one case (e.g., motions) without invoking multiple lead document fees (e.g., only apply case-level filing fees once even if multiple documents are included in a single filing)	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
270	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to indicate that one document has been split into multiple files (e.g., to meet any file-size restrictions) and specify the sequence of such files. <i>Describe possible solutions to manage file sizes over 30MB (e.g., batch process large file size submission during non-peak hours, leverage lower priority queue, etc.).</i>	High	[Redacted]	[Redacted]
280	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to remove an attached document prior to submitting the filing	High	[Redacted]	[Redacted]
290	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to enter a document subtitle to augment the standard title of the document	Low	[Redacted]	[Redacted]
300	eFiling Preparation and Submission	Prepare Form Filing	Ability to store document metadata fields entered by a Filer on Solution screens when a filing is created	High	[Redacted]	[Redacted]
310	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to combine multiple document files into a single document at the time of upload	Low	[Redacted]	[Redacted]
320	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to add separator pages between the files when a single document is created from multiple files	Low	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
330	eFiling Preparation and Submission	Prepare Form Filing	Ability to link to PDF converter applications for use by a Filer without their own software to create PDFs	Low	[REDACTED]	[REDACTED]
340	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to submit documents for action by another party which remain outside of the official record formally filed (e.g., a stipulation started by one Attorney which needs to be signed by the opposing Attorney, such as for e-discovery or order to adjourn)	High	[REDACTED]	[REDACTED]
350	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to submit 'draft' versions of documents for review (e.g., a proposed order submitted by an Attorney for Judicial Officer's review and comment)	High	[REDACTED]	[REDACTED]
360	eFiling Preparation and Submission	Prepare Form Filing	Ability to automatically determine the size of documents when updated by the Filer (e.g., file size, number of pages) for use in file upload validations	High	[REDACTED]	[REDACTED]
370	eFiling Preparation and Submission	Prepare Form Filing	Ability to prevent a Filer from uploading and filing documents that exceed OCA defined size parameters (e.g., file size, number of pages, number of attachments); <i>In the comments, please indicate any limitations and describe how to avoid and/or resolve potential issues transmitting file sizes up to 2GB to jurisdictions.</i>	High	[REDACTED]	[REDACTED]
380	eFiling Preparation and Submission	Prepare Form Filing	Ability to prevent a Filer from uploading and filing documents that are not permitted based on an OCA defined list of allowable file types (e.g., PDF, Word, Acceptable Codex for video)	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
390	eFiling Preparation and Submission	Prepare Form Filing	Ability for the State EFSP and/or the EFM to verify the condition of documents uploaded by Filers and prevent upload if a document is found to be corrupt or does not meet JCIT standards (see JCIT Technology Standards)	High	[Redacted]	[Redacted]
400	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Filer to receive a notification that describes reason(s) a document is prevented from uploading and recommendation(s) to resolve the issue	High	[Redacted]	[Redacted]
410	eFiling Preparation and Submission	Prepare Form Filing	Ability for a Jurisdiction Administrator to define web page(s) for Filer, Public or other designated Users that display jurisdiction specific information (e.g., contact information, hours) allowable per business rules	Medium	[Redacted]	[Redacted]
420	eFiling Preparation and Submission	Prepare Bulk Filing	Ability for a Filer to prepare multiple filings on multiple cases in one submission (i.e., "bulk filings") for designated case types or documents	High	[Redacted]	[Redacted]
430	eFiling Preparation and Submission	Prepare Bulk Filing	Ability for a Filer to attach one or more documents to individual filings within a bulk filing	High	[Redacted]	[Redacted]
440	eFiling Preparation and Submission	Prepare Bulk Filing	Ability to limit the number of filings (i.e., cases) a Filer may include in a bulk filing submission	High	[Redacted]	[Redacted]
450	eFiling Preparation and Submission	Prepare Bulk Filing	Ability to for the Solution to support the submission of large numbers of filings in a bulk filing without impact to Solution performance	High	[Redacted]	[Redacted]
460	eFiling Preparation and Submission	Prepare Non-Form Filing	Ability for a Direct Filer to submit a non-form filing in an XML format with embedded metadata tagged conformant with ECF standards	High	[Redacted]	[Redacted]
470	eFiling Preparation and Submission	Prepare Non-Form Filing	Ability for a Filer to attach multiple attachments to a non-form document	High	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
480	eFiling Preparation and Submission	Prepare Non-Form Filing	Ability for a Filer to separate a large document (e.g., file size) into multiple documents to facilitate eFile processing and subject to solution configured document size limitations	High	[REDACTED]	[REDACTED]
490	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to file to any Texas trial court	High	[REDACTED]	[REDACTED]
500	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to file to any Texas appellate court	High	[REDACTED]	[REDACTED]
510	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to submit multiple proposed motions at one time (e.g., if one Attorney takes over another Attorney's case load)	High	[REDACTED]	[REDACTED]
520	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to preview a filing prior to submission	High	[REDACTED]	[REDACTED]
530	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to withdraw a filing before a Clerk has reviewed it	High	[REDACTED]	[REDACTED]
540	eFiling Preparation and Submission	Submit Filing	Ability for a Jurisdiction Administrator to define jurisdiction-specific criteria that assigns a court type for specific filings (e.g., assign family case to any court type)	Medium	[REDACTED]	[REDACTED]
550	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to either file only, serve only, or file and serve as required	High	[REDACTED]	[REDACTED]
560	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to submit filings on an existing case for which a Filer has not previously filed (e.g., substitution of Attorney and notice of appearance from new Attorney taking over a case). Describe how this requirement would be met.	Medium	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
570	eFiling Preparation and Submission	Submit Filing	Ability for a Filer acting as the Attorney filing on their own behalf as a litigant to submit a filing without validating Attorney credentials	High	[REDACTED]	
580	eFiling Preparation and Submission	Submit Filing	Ability for a Filer to submit documents without validating the Attorney status in the Texas Bar Association (e.g., in the event Texas Bar Association information in eFileTexas 2.0 is not updated)	High	[REDACTED]	
590	eFiling Preparation and Submission	Submit Filing	Ability for an authorized Filer to request a designated jurisdiction staff when an emergency filing is submitted (e.g., add a comment to the filing that notifies designated staff)	Low	[REDACTED]	
600	eFiling Preparation and Submission	Submit Filing	Ability to perform a virus check on every document submitted by a Filer and prevent submission if a virus is found	High	[REDACTED]	
610	eFiling Preparation and Submission	Submit Filing	Ability to use OCR at the time of document submission to prepare otherwise non-searchable documents for searching	High	[REDACTED]	[REDACTED]
620	eFiling Preparation and Submission	Submit Filing	Ability for the Solution to assign a filing date per the parameters and business rules defined	High	[REDACTED]	
630	eFiling Preparation and Submission	Submit Filing	Ability to allow Jurisdiction Administrators to add/modify/delete holidays	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
640	eFiling Preparation and Submission	Submit Filing	Ability for a Jurisdiction Administrator to stipulate filing blackout dates (e.g., for precise blackout periods, emergency / disaster event) during which filings would not be reviewed	High	[Redacted]	[Redacted]
650	eFiling Preparation and Submission	Submit Filing	Ability to provide a configurable confirmation notice to a Filer upon successful submission	High	[Redacted]	[Redacted]
660	eFiling Preparation and Submission	Submit Filing	Ability to provide a single confirmation notice to a Filer when a bulk filing is submitted, listing all cases (including each case's documents) separately along with the fees charged to each case	High	[Redacted]	[Redacted]
670	eFiling Review and Acceptance	Submit Filing	Ability for a Filer to receive a notification that describes reason(s) a filing was rejected or returned for correction so that they may resolve the issue(s) prior to resubmittal	High	[Redacted]	[Redacted]
680	eFiling Review and Acceptance	Submit Filing	Ability for a Filer to resubmit the same filing with corrected or additional documents for a previously submitted filing that was rejected or returned for correction	High	[Redacted]	[Redacted]
690	eFiling Review and Acceptance	Submit Filing	Ability for a Filer the ability to resubmit a filing under the original filing date if anything in an envelope is rejected or returned for correction. <i>Describe capabilities to index resubmitted documents appropriately in an existing envelope.</i>	High	[Redacted]	[Redacted]
700	eFiling Review and Acceptance	Route to Jurisdiction / Court (/Type)	Ability to route filings to review queues at jurisdictions specified by Filer during eFiling Preparation	High	[Redacted]	[Redacted]
710	eFiling Review and Acceptance	Queue for Review	Ability for a Global Administrator and/or Jurisdiction Administrator to establish work queues based on one or more categories such as role (e.g., Managers, Clerk, Judicial Officers, external entity), case type (e.g., new cases, appeals, civil, criminal), filing type (e.g., motions, orders), agency / organization submitting the filing, filing status (e.g., error, active)	High	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
720	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to assign specific staff to specific work queues	High	[Redacted]	[Redacted]
730	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to define business rules for each work queue (e.g., proposed orders go to Judicial Officer queue) which are used to automatically route filings	Medium	[Redacted]	[Redacted]
740	eFiling Review and Acceptance	Queue for Review	Ability for a Global Administrator and/or Jurisdiction Administrator to configure work queues by User role (e.g., Clerk queues may be sorted by date from oldest to newest; Judicial Officer queues may be sorted by document type)	High	[Redacted]	[Redacted]
750	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to configure their own work queues including designating fields which are displayed (e.g., date and time received, document type, document description, filing party, sort order)	High	[Redacted]	[Redacted]
760	eFiling Review and Acceptance	Queue for Review	Ability for an authorized User to modify work queues and save personal screen display settings (e.g., sort order for each column, column widths)	Low	[Redacted]	[Redacted]
770	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to define a set of parameters for a default queue	High	[Redacted]	[Redacted]
780	eFiling Review and Acceptance	Queue for Review	Ability to limit a Clerk's access to filings and/or work queues based on court, case type, and/or role (e.g., only Clerks authorized to process adoptions can access adoption filings in the queues)	High	[Redacted]	[Redacted]
790	eFiling Review and Acceptance	Queue for Review	Ability for a supervising Clerk to give queue access to Users	High	[Redacted]	[Redacted]
800	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to assign a pre-determined priority by filing type (e.g., Writs of Apprehension for children in extreme danger; a motion filed before someone is released from jail, protection orders)	High	[Redacted]	[Redacted]
810	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to prioritize document reviews based on a jurisdiction's routing rules (e.g. priority queues)	High	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
820	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to prioritize submissions based on multiple criteria (e.g., proposed orders at the top of the queue) with the ability to override the primary sequencing (e.g., high-priority documents are placed at the top of the queue in first-in order)	High	[Redacted]	[Redacted]
830	eFiling Review and Acceptance	Queue for Review	Ability to automatically display the next filing in the work queue when the Clerk completes the processing of each filing	High	[Redacted]	[Redacted]
840	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to select documents for review outside of the order presented in their respective queue(s)	High	[Redacted]	[Redacted]
850	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to have multiple documents open at the same time, including documents from different cases	High	[Redacted]	[Redacted]
860	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to filter work queues (e.g., display filings from a particular organization or agency (e.g., Law Firms, Prosecutor's Office, Friend of the Court))	High	[Redacted]	[Redacted]
870	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to move documents between review queues	High	[Redacted]	[Redacted]
880	eFiling Review and Acceptance	Queue for Review	Ability for a Judicial Officer to remove a filing from their queue and return it to back to the queue at a specific date	High	[Redacted]	[Redacted]
890	eFiling Review and Acceptance	Queue for Review	Ability for a Jurisdiction Administrator to identify specific firms and case types for auto-review	High	[Redacted]	[Redacted]
900	eFiling Review and Acceptance	Queue for Review	Ability to place documents in a queue monitored by a Judicial Officer "on hold" (e.g., defer review and acceptance) for a defined period of time (e.g., 7 days, 21 days, indefinitely) with automatic return to their review queue when the period has expired or a subsequent action occurs	Medium	[Redacted]	[Redacted]
910	eFiling Review and Acceptance	Queue for Review	Ability to designate if a document "on hold" should automatically return to a review queue if a subsequent filing action occurs on the same case	Medium	[Redacted]	[Redacted]
920	eFiling Review and Acceptance	Queue for Review	Ability for a supervising Clerk to automatically balance workloads across assigned employees within a jurisdiction	Medium	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
930	eFiling Review and Acceptance	Queue for Review	Ability for a Clerk to set ticklers and reminders for action on documents (e.g., future action required based on a defined number of days, no action on a submission has been taken in a defined number of days), with an alert or notification issued when the timing criteria has been reached	Medium		
940	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to process filings received by the EFM through the e-Filing service provider interface	High		
950	eFiling Review and Acceptance	Review Filing	Ability to automatically populate fields (e.g., document description) in the Clerk review queue	Medium		
960	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to easily view a Filer's contact information when reviewing documents	High		
970	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to be prevented from processing a filing if another Clerk is already processing that same filing (e.g., "lock" documents to avoid edit conflicts during concurrent reviews and/or edit sessions)	High		
980	eFiling Review and Acceptance	Review Filing	Ability to display a notification to a Clerk if they are attempting to access a document that is already being processed, including who it is being processed by	High		
990	eFiling Review and Acceptance	Review Filing	Ability to notify a Clerk when a filing that does not meet pre-defined completion criteria upon submittal	Low		
1000	eFiling Review and Acceptance	Review Filing	Ability for a Jurisdiction Administrator to terminate document 'locks' (e.g., if a User neglects to 'unlock' a document for an extended period of time)	High		
1010	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to re-categorize an inaccurately categorized document and/or filing type prior to acceptance	High		
1020	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to send notes or comments to a Filer prior to accepting or rejecting a filing (e.g., for clarification purposes, to request a Filer take additional action)	Medium		
1030	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to edit document metadata (e.g., minor corrections such as incorrect form or court, filing code) during the Clerk review process prior to acceptance, with any changes being logged/audited. Note: The Clerk should not be allowed to edit the document itself. In that case, it should be returned for correction.	High		
1040	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to merge multiple files if the document had been split into multiple files for submission purposes	Low		

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1050	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to split one document into multiple documents (e.g., to split a single PDF containing multiple filings into separate documents)	Low	[Redacted]	[Redacted]
1060	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to rotate documents during review and to save the document's rotation state at acceptance with file stamps positioned appropriately to the rotated document	Medium	[Redacted]	[Redacted]
1070	eFiling Review and Acceptance	Review Filing	Ability for a Clerk who processed the filing to include additional notes in the notification	High	[Redacted]	[Redacted]
1080	eFiling Review and Acceptance	Review Filing	Ability for a Clerk to specify the Judicial Officers associated with a filing if not previously identified	High	[Redacted]	[Redacted]
1090	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk to accept a filing	High	[Redacted]	[Redacted]
1100	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk to accept or return for correction at either the envelope, lead document, and/or individual document	High	[Redacted]	[Redacted]
1110	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk to accept individual documents in a filing without processing all documents in that filing	Medium	[Redacted]	[Redacted]
1120	eFiling Review and Acceptance	Accept Filing	Ability for a Global Administrator to define a period of time (e.g., based on JCIT technology standard of 30 days) after a designated event or case status (e.g., the filing has been accepted, case closure) that a Filer can access stamped copies of documents filed on their cases	High	[Redacted]	[Redacted]
1130	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk to perform automated Solution-functions (e.g., document stamping, service) for each individual filing within a bulk filing as each filed document is processed / approved	High	[Redacted]	[Redacted]
1140	eFiling Review and Acceptance	Accept Filing	Ability for a Global Administrator to configure the information (e.g., case number, a link to the filed document(s), list of those who received notice of the filing, issue and expiration date for garnishments) in an acceptance confirmation notification	High	[Redacted]	[Redacted]
1150	eFiling Review and Acceptance	Accept Filing	Ability for a Filer to receive a single notice after all documents in a bulk filing are processed, listing all cases (and documents for each case) separately, including the status of each document	Medium	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1160	eFiling Review and Acceptance	Accept Filing	Ability for a Jurisdiction Administrator to designate filings which are automatically accepted based on jurisdiction-defined criteria (e.g., proof of service filings on document served electronically)	High	[REDACTED]	[REDACTED]
1170	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk to accept designated documents which do not become part of the case record (e.g., an inventory for a decedent's estate)	Medium	[REDACTED]	
1180	eFiling Review and Acceptance	Accept Filing	Ability for the EFM to automatically notify designated Users when certain documents have been filed	Low	[REDACTED]	
1190	eFiling Review and Acceptance	Accept Filing	Ability for all parties to automatically receive an electronic copy of the filed document after the document has been accepted in the court's local case management Solution	High	[REDACTED]	
1200	eFiling Review and Acceptance	Accept Filing	Ability for a Clerk the ability to recover and resubmit an accepted filing for which the CMS update transaction was not successful. Describe how this requirement would be met.	Medium	[REDACTED]	
1210	eFiling Review and Acceptance	Reject Filing	Ability for a Clerk to reject a filing	High	[REDACTED]	
1220	eFiling Review and Acceptance	Reject Filing	Ability for a Clerk who processed a filing submission to include additional notes in a rejection notification (e.g., rejection reason)	High	[REDACTED]	
1230	eFiling Review and Acceptance	Reject Filing	Ability for a Clerk to reject individual documents in a filing without processing all documents in that filing	High	[REDACTED]	
1240	eFiling Review and Acceptance	Reject Filing	Ability for a Global Administrator to pre-define a set of standard rejection reasons (e.g., missing signature) for use by all jurisdictions to include in a notification back to Filer	High	[REDACTED]	
1250	eFiling Review and Acceptance	Reject Filing	Ability for a Jurisdiction Administrator to associate a standard rejection reason (with a link to online documentation of the relevant court rule) to a court rule	High	[REDACTED]	
1260	eFiling Review and Acceptance	Reject Filing	Ability for a Clerk to reject multiple proposed motions at one time (e.g., if one Attorney takes over another case load)	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1270	eFiling Review and Acceptance	Reject Filing	Ability for a Clerk to prevent acceptance of re-categorized documents if the filing fee for the new document is higher than the filing fee paid for the document as originally categorized and until the additional fee is submitted	High	[Redacted]	[Redacted]
1280	eFiling Review and Acceptance	Return Filing for Correction	Ability for a Clerk to return a filing for correction to the Filer	High	[Redacted]	[Redacted]
1290	eFiling Review and Acceptance	Return Filing for Correction	Ability for a Clerk to select a reason code (configured in the Solution) for the correction and optionally include instructions for resubmittal and/or supplemental text to explain the reason	High	[Redacted]	[Redacted]
1300	eFiling Review and Acceptance	Digital Stamps	Ability to auto-stamp a filing once it is received, filed, accepted, or rejected by a Clerk	High	[Redacted]	[Redacted]
1310	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk to apply digital stamps for acceptance as well as actions taken on documents in addition to acceptance (e.g., reviewed, multiple signature)	Low	[Redacted]	[Redacted]
1320	eFiling Review and Acceptance	Digital Stamps	Ability for a Jurisdiction Administrator to specify what data can be included on a stamp (e.g., court number, court-specific watermarks)	High	[Redacted]	[Redacted]
1330	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk and/or Jurisdiction Administrator to create customized stamps	High	[Redacted]	[Redacted]
1340	eFiling Review and Acceptance	Digital Stamps	Ability for Jurisdiction Administrators to configure date calculation rules and include the calculated date in stamps (e.g., date for summons expiration automatically calculated as 180 days from date of summons filing acceptance) as long as it does not override times defined in the JCIT Technology Standards.	Low	[Redacted]	[Redacted]
1350	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk to modify the date stamp of a filed document prior to acceptance	High	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1360	eFiling Review and Acceptance	Digital Stamps	Ability to require a Clerk to provide a reason why a date stamp is modified prior to saving any changes	High	[REDACTED]	[REDACTED]
1370	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk to move file stamps (e.g., individual lines of the stamp) in the event it obstructs document content	High	[REDACTED]	[REDACTED]
1380	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk to move file stamps as a block (e.g., the entire stamp as an image) in the event it obstructs document content	High	[REDACTED]	[REDACTED]
1390	eFiling Review and Acceptance	Digital Stamps	Ability for a Clerk to alter the size of signatures (e.g., for Clerks and stamps)	High	[REDACTED]	[REDACTED]
1400	eFiling Review and Acceptance	Provide Additional Clerk Services	Ability for designated Users (e.g., Judicial Officers, Clerks, Friend of Court) to add orders, entries, notices, etc. for review and acceptance using the State-sponsored EFSP	High	[REDACTED]	[REDACTED]
1410	eFiling Review and Acceptance	Provide Additional Clerk Services	Ability for a Clerk to not be required to process payments for filings submitted by designated entities (e.g., prosecutors)	High	[REDACTED]	[REDACTED]
1420	eFiling Review and Acceptance	Provide eService	Ability for a Jurisdiction Administrator to specify allowable methods of service	Low	[REDACTED]	[REDACTED]
1430	eFiling Review and Acceptance	Provide eService	Ability for a Jurisdiction Administrator and/or Clerk to define a required method of service for specific documents / service types	Medium	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1440	eFiling Review and Acceptance	Provide eService	Ability for a Clerk to serve documents electronically (e.g., via email), including performing concurrent e-service to registered parties and interested persons defined to receive service electronically	High	[REDACTED]	
1450	eFiling Review and Acceptance	Provide eService	Ability to automatically assign the Attorney of Record and pro se Filer for self-represented litigants as the first service contact	High	[REDACTED]	[REDACTED]
1460	eFiling Review and Acceptance	Provide eService	Ability for Filer to enter parties and interested persons to receive each document and the manner in which service is to be performed (e.g., e-service, certified mail)	High	[REDACTED]	
1470	eFiling Review and Acceptance	Provide eService	Ability to attempt to serve notices multiple times at an interval defined by the Global Administrator before deeming an electronic notice undeliverable	High	[REDACTED]	[REDACTED]
1480	eFiling Review and Acceptance	Provide eService	Ability to log each attempt to serve notices before an electronic is successful or designated undeliverable	High	[REDACTED]	
1490	eFiling Review and Acceptance	Provide eService	Ability for a Global Administrator to configure the number of delivery attempts to be made before deeming an electronic notice undeliverable	High	[REDACTED]	[REDACTED]
1500	eFiling Review and Acceptance	Provide eService	Ability to issue a notification to a Filer who is responsible for serving parties or interested persons when an email address is not available for one or more of the parties to be served	Medium	[REDACTED]	
1510	eFiling Review and Acceptance	Provide eService	Ability to process served citations through the eFileTexas 2.0 Solution (e.g., for constable to serve)	High	[REDACTED]	[REDACTED]
1520	eFiling Review and Acceptance	Provide eService	Ability to provide a Clerk with a notification when service is complete (in addition to filing of the return of service)	Low	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1530	eFiling Review and Acceptance	Provide eService	Ability for the Solution to provide the court CMS with Proof of Service information for documents served electronically when the service notice is distributed to the service recipient(s), including all details (e.g., name, email, date/ time sent, etc.)	High	[REDACTED]	
1540	eFiling Review and Acceptance	Provide eService	Ability for a Global Administrator or Jurisdiction Administrator to specify the automated creation of certificates of service (e.g., insert a page at the end of every document served showing the case number, filer name, filer email address, date of service, list of all persons served (name and email address), etc.)	High	[REDACTED]	[REDACTED]
1550	eFiling Review and Acceptance	Provide eService	Ability to track all details about e-service including status, date and time the service notice email was issued, and the date and time the service notice email was opened	High	[REDACTED]	
1560	eFiling Review and Acceptance	Provide eService	Ability to prevent documents from being served until after a Clerk has accepted them	Medium	[REDACTED]	
1570	eFiling Review and Acceptance	Provide eService	Ability for a Jurisdiction Administrator to prevent e-service on actions that should remain "unannounced" (e.g., ex parte protection orders) through configuration per business rules	High	[REDACTED]	[REDACTED]
1580	eFiling Review and Acceptance	Facilitate eDiscovery	Ability for Filers to submit filings for eDiscovery (e.g. documents, videos)	Medium	[REDACTED]	
1590	eFiling Review and Acceptance	Facilitate eDiscovery	Ability for a Filer to exchange other non-filed documents through the eFileTexas 2.0 Solution for discovery (e.g., attorney's sharing documents with other attorneys) and track and display associated data for authorized users (attorneys) within the Solution	High	[REDACTED]	
1600	eFiling Review and Acceptance	Route Proposed Order	Ability for a Clerk to select to route a proposed order to a specific queue	High	[REDACTED]	
1610	eFiling Review and Acceptance	Route Proposed Order	Ability for a Clerk to route a proposed order to the top of a designated queue (e.g., a Judicial Officer queue)	High	[REDACTED]	[REDACTED]
1620	eFiling Review and Acceptance	Route Proposed Order	Ability for authorized individuals (e.g., Judicial Officers) to edit a submitted document (e.g., a draft order prepared by an Attorney) with a new version of that document (e.g., a revised order)	Low	[REDACTED]	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1630	eFiling Review and Acceptance	Prepare Citation	Ability for a Clerk to prepare a citation through eFiling	High	[Redacted]	[Redacted]
1640	eFiling Review and Acceptance	Prepare Citation	Ability for a Clerk to prepare a citation where designated fields on the citation are automatically populated with data retrieved from the corresponding filing and/or CMS	High	[Redacted]	[Redacted]
1650	eFiling Review and Acceptance	Prepare Citation	Ability for a Clerk to submit a citation through eFiling	High	[Redacted]	[Redacted]
1660	eFiling Review and Acceptance	Prepare Citation	Ability for a Filer to request preparation of a citation	High	[Redacted]	[Redacted]
1670	eFiling Review and Acceptance	Prepare Citation	Ability for a Clerk to request service of a citation	High	[Redacted]	[Redacted]
1680	eFiling Review and Acceptance	Prepare Citation	Ability for a Filer to request service of a citation	High	[Redacted]	[Redacted]
1690	eFiling Review and Acceptance	Prepare Citation	Ability for a Filer to specify the method of service of a citation (e.g., eService, constable, etc.)	High	[Redacted]	[Redacted]
1700	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Global Administrator to associate statewide or jurisdiction fees with filing types and other OCA defined events or services (e.g., eService)	High	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1710	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Jurisdiction Administrator to associate jurisdiction fees with filing types and other jurisdiction defined events or services (e.g., eService)	High	[REDACTED]	[REDACTED]
1720	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Jurisdiction Administrator to set a schedule for managing financial transactions (e.g., holds)	High	[REDACTED]	[REDACTED]
1730	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Jurisdiction Administrator to manage fee types with configurable workflow and business rules for processing. Examples are included in requirements indented below:	High	[REDACTED]	[REDACTED]
1740	Fee Admin and Calculation	Administer Fee Schedule	Fee calculation rules	High	[REDACTED]	[REDACTED]
1750	Fee Admin and Calculation	Administer Fee Schedule	Specification if the fee is refundable, eligible to be waived, or voided	High	[REDACTED]	[REDACTED]
1760	Fee Admin and Calculation	Administer Fee Schedule	Ability to apply a surcharge (e.g., additional fees, returned check fee)	High	[REDACTED]	[REDACTED]
1770	Fee Admin and Calculation	Administer Fee Schedule	Fee Codes (e.g., for Appellate and Supreme Courts as defined in Electronic Processing of Revenues and Expenditures, including Texas.gov Portal Activity (APS 029) <a href="https://fmx.cpa.texas.gov/fm/pubs/aps/29/j001_all.php">https://fmx.cpa.texas.gov/fm/pubs/aps/29/j001_all.php</a> )	High	[REDACTED]	[REDACTED]
1780	Fee Admin and Calculation	Administer Fee Schedule	Fee Schedule Effective Date	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1790	Fee Admin and Calculation	Administer Fee Schedule	Fee Schedule Expiration Date	High	[Redacted]	[Redacted]
1800	Fee Admin and Calculation	Administer Fee Schedule	Fee Code Effective Date	High	[Redacted]	[Redacted]
1810	Fee Admin and Calculation	Administer Fee Schedule	Fee Code Expiration Date	High	[Redacted]	[Redacted]
1820	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Global Administrator and/or a Jurisdiction Administrator to manage multiple fee schedule versions (e.g., use of effective dates in the fee schedule)	Medium	[Redacted]	[Redacted]
1830	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Jurisdiction Administrator to apply fee schedules based on the date of submission of the filing and the effective date of the relevant fee schedule	High	[Redacted]	[Redacted]
1840	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Global Administrator and/or a Jurisdiction Administrator to designate case types which incur one-time eFiling fees and to change that designation	High	[Redacted]	[Redacted]
1850	Fee Admin and Calculation	Administer Fee Schedule	Ability for a Global Administrator to establish specific fee schedules for Document Access (e.g., as defined by JCIT Technology Standards)	High	[Redacted]	[Redacted]
1860	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Clerk to adjust fees after submission and before acceptance (e.g., Clerk adding orders or entries, Filer selected the wrong filing type)	High	[Redacted]	[Redacted]
1870	Fee Admin and Calculation	Assess & Invoice Fees	Ability to assess filing fees as if there is a single lead document when multiple lead documents are submitted by a Filer for a single case	High	[Redacted]	[Redacted]
1880	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Clerk to recalculate filings fees during the review process (e.g., when a Clerk recategorizes a document type)	High	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
1890	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to request additional services for which fees are assessed (e.g., refer to JCIT technology standards)	High	[REDACTED]	
1900	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Clerk to add additional services for which fees are assessed (e.g., clerk confirms with Filer of constable service of a document)	High	[REDACTED]	
1910	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Jurisdiction Administrator to specify how filing fees are calculated automatically as documents are added to the filing based on a predefined fee schedule (e.g., fees based on various criteria including type of case, type of service, number of pages in service documents)	High	[REDACTED]	
1920	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Global Administrator and/or a Jurisdiction Administrator to track any transaction fees charged by a payment processing vendor or EFSP	High	[REDACTED]	
1930	Fee Admin and Calculation	Assess & Invoice Fees	Ability to calculate filing fees for a Filer when fees vary according to a stated value in the action (e.g., garnishments, estates)	High	[REDACTED]	
1940	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Clerk ability to view a list of all filing fees during review of a filing including total at the end	High	[REDACTED]	
1950	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to view filing fees prior to submission	High	[REDACTED]	
1960	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to view the total of all filing fees, summarizing fees by case	High	[REDACTED]	
1970	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to view the total fees calculated for a bulk filing submission	High	[REDACTED]	[REDACTED]
1980	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to view any convenience fees associated to a filing , as authorized by statute, when payment type is selected	High	[REDACTED]	
1990	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer and/or a Clerk to apply payment of the total filing fees due using a Filer's payment method associated with the filing	High	[REDACTED]	
2000	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to pay filing fees using electronic check ("eCheck")	High	[REDACTED]	
2010	Fee Admin and Calculation	Assess & Invoice Fees	Ability to charge a Filer's payment account when the filing is accepted by the Jurisdiction	High	[REDACTED]	
2020	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to verify the availability of a funds via the designated payment method (e.g., credit card) at the time of filing and prevent submission if authorization is not received	Low	[REDACTED]	
2030	Fee Admin and Calculation	Assess & Invoice Fees	Ability to notify a Filer of the insufficient of funds via the selected payment method at the time of filing	Low	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
2040	Fee Admin and Calculation	Assess & Invoice Fees	Ability to prevent a Filer from submitting a filing if no form of payment or no request for fee waiver exists	High	[REDACTED]	
2050	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Jurisdiction Administrator to configure placing (or not placing) a hold on the Filer's method of payment at the time of filing submission	Low	[REDACTED]	[REDACTED]
2060	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to view a detailed receipt for each submission itemizing all elements of the submission and case (e.g., line items for each distinct fee for each case included in the filing, summary of fees paid by case, summary of all fees for a filing)	High	[REDACTED]	
2070	Fee Admin and Calculation	Assess & Invoice Fees	Ability for the EFM to track the authorization number provided by credit card processing bureau (e.g., subject to PCI compliance requirements) after payment has been processed for a Filer	Medium	[REDACTED]	
2080	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to submit subsequent filings with appropriate fees assessed for the subsequent filings based on file types / case types (e.g., \$15 filing fee for family, cross-claims, motions for new trials)	High	[REDACTED]	
2090	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to only be charged for a single document if the document was divided in order to meet any file size limitations	High	[REDACTED]	
2100	Fee Admin and Calculation	Assess & Invoice Fees	Ability for a Filer to authorize an additional payment amount or request credit back to the payment account (e.g., credit card) if a filing fee is changed during the review process	High	[REDACTED]	
2110	Fee Admin and Calculation	Void Fee	Ability for a Clerk to void and refund fees (e.g., if a filing is accidentally accepted by the wrong Jurisdiction) with the Solution supporting the void process through automated reconciliation of any affected funds	High	[REDACTED]	[REDACTED]
2120	Fee Admin and Calculation	Void Fee	Ability for the Solution to allow void and refund reason codes to be configured in the Solution for tracking and reporting purposes	Medium	[REDACTED]	[REDACTED]
2130	Fee Admin and Calculation	Waive Fees	Ability for a Filer to request a fee waiver	High	[REDACTED]	

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2140	Fee Admin and Calculation	Waive Fees	Ability for a Global Administrator and/or a Jurisdiction Administrator to define a variety of fee waiver types (e.g., waivers that apply only for a specific case, "blanket" waivers that apply to individuals for all of their filings for a defined period of time)	Low		
2150	Fee Admin and Calculation	Waive Fees	Ability for a Clerk to manually contest fee waivers if certain pre-requisite conditions are met by a Filer (e.g., filing of an affidavit of indigency)	High		
2160	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to create preformatted editable online forms and document templates by jurisdiction (e.g., step-by-step instructions for each filing type that an inexperienced Filer (e.g., pro se Litigant) can follow / answer to create personalized forms which are ready for filing)	High		
2170	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to configure / modify screen labels, instructions / help text, and other static content	High		
2180	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to configure jurisdiction-specific local rules for submission and document expectations	Low		
2190	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to create fields and tables for Filers to complete (e.g., free-form, drop-down, narrative text)	High		
2200	Forms Assembly	Author Templates and Forms	Ability to render Forms Author designed user interfaces with a mobile-responsive design for template and form-based filings for Filers to create and submit fileable documents	Medium		
2210	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to create templates and forms using multiple third party tools (e.g., HotDocs, A2J Author, Docassemble, etc.)	Low		
2220	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to configure rules applicable to the filing context (e.g. number of signatures)	Medium		
2230	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to configure forms in Forms Assembly for any filing type available in eFileTexas 2.0 and authorized for Forms Assembly by OCA	Medium		
2240	Forms Assembly	Author Templates and Forms	Ability for a Forms Author to configure forms that allow multiple signatures on a single form	High		
2250	Forms Assembly	Author Templates and Forms	Ability for a Filer to save work in progress when completing a form in Forms Assembly (e.g. save feature, form status, ability to edit and/ or delete information)	High		



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2370	Redaction	Redact Automatically (AI)	Ability to automatically redact documents based on machine learning derived algorithms for the Filer's consideration prior to submission of the filing; <i>Please describe your experience and plans for the use of artificial intelligence in the application of redaction</i>	High	[REDACTED]	[REDACTED]
2380	Redaction	Redact Automatically (AI)	Ability for a Filer to either accept all redactions or selectively accept redactions recommended by the Solution	High	[REDACTED]	[REDACTED]
2390	Redaction	Redact Automatically (AI)	Ability for the Global Administrator to configure auto redaction criteria and rules. <i>Describe the level of configurability of the redaction solution.</i>	High	[REDACTED]	[REDACTED]
2400	Redaction	Redact Manually	Ability for a Filer to manually redact documents prior to submission of the filing	High	[REDACTED]	[REDACTED]
2410	Redaction	Redact Manually	Ability for Filer to mask selected data prior to the submission of a filing (e.g., per Texas Rules of Civil Procedure - Rule 21C such as replacing initials or otherwise preventing the juvenile's name from being viewed, such as a black bar overlay)	High	[REDACTED]	[REDACTED]
2420	Redaction	Redact Manually	Ability for a Clerk to manually redact documents in Document Access (e.g., in response to a court order)	High	[REDACTED]	[REDACTED]
2430	Redaction	Redact Manually	Ability for a Filer to redact information using black or other noticeable color as defined by Global Administrator for the Solution	High	[REDACTED]	[REDACTED]
2440	Redaction	Redact Manually	Ability for the Global Administrator to configure whether to display on the redacted document the User who applied the redaction (e.g., the Filer)	Low	[REDACTED]	[REDACTED]
2450	Redaction	Redact Manually	Ability for a Filer, Clerk or other designated User to make annotations and add notes on specific locations on a page of a document (e.g., similar to using a yellow sticky note on a paper document)	Low	[REDACTED]	[REDACTED]
2460	Redaction	Redact Manually	Ability for a Filer, Clerk or other designated User to create private/ personal notes/ comments that only the User adding the note would see, with to remove the note/comment at any time	Low	[REDACTED]	[REDACTED]
2470	Redaction	Redact Manually	Ability for a Filer, Clerk or other designated User to create notes at the document and/or the case level (e.g., the note would be associated to all documents in the case)	Low	[REDACTED]	[REDACTED]
2480	Redaction	Redact Manually	Ability for a Filer, Clerk or other designated User to create notes which the originator can share with selected (as chosen by the author) persons; Solution shall allow the author of the note to change whom the note is shared with or remove the note at any time	Low	[REDACTED]	[REDACTED]
2490	Redaction	Redact Manually	Ability for a Filer, Clerk or other designated User to access copies of documents and print without annotations or comments	Low	[REDACTED]	[REDACTED]

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2500	Redaction	Preview Redaction	Ability for a Filer to view a redacted document prior to submission of the filing	High	[REDACTED]	
2510	Redaction	Preview Redaction	Ability for a Filer to be prompted with additional fields which may require redaction (using criteria defined in Redact Automatically capability requirements below) when previewing a redacted document prior to submission of the filing	Medium	[REDACTED]	[REDACTED]
2520	Document Access	Store Documents	Ability for the Solution to store a copy of each document accepted via eFiling and make it publicly available in a statewide portal (if eligible per the document's security designation)	High	[REDACTED]	
2530	Document Access	Store Documents	Ability for the Solution to receive metadata and documents via API's with the local CMS	Medium	[REDACTED]	
2540	Document Access	Store Documents	Ability for the Document Access component to store designated metadata (e.g., case number, case name, filing date, litigant names/information, filings, party names) for filed documents available for public access	High	[REDACTED]	
2550	Document Access	Store Documents	Ability for the Document Access component to retrieve documents directly from an API-enabled CMS rather than storing the document in Document Access (e.g., integrated courts using APIs for Document Access similar to those used by the EFM); <i>In the comments please describe how this requirement would be met.</i>	High	[REDACTED]	[REDACTED]
2560	Document Access	Store Documents	Ability for a Global Administrator to specify acceptable document formats to store in the document access repository (e.g., PDF, media formats such as video). <i>In the comments, please describe recommended file formats for efficiency and best practices, including digital evidence / multi-media types.</i>	High	[REDACTED]	[REDACTED]
2570	Document Access	Store Documents	Ability for a Global Administrator or other designated User to enter, edit, and delete document metadata related to a document in Document Access	High	[REDACTED]	
2580	Document Access	Store Documents	Ability for a Clerk to designate documents as private, confidential, or non-public for purposes of public access / security	High	[REDACTED]	
2590	Document Access	Store Documents	Ability for a Clerk to modify a document's security designation (private, confidential, or non-public)	High	[REDACTED]	
2600	Document Access	Store Documents	Ability for an authorized User to associate a document with one or more cases (e.g., a notice of appearance filed for multiple charges/cases)	Low	[REDACTED]	
2610	Document Access	Store Documents	Ability for an authorized User to remove a single document from a filing in Document Access without having to remove the entire filing (e.g., if a document is misfiled and the single exhibit needs to be pulled back and replaced with a substitute)	Medium	[REDACTED]	

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2620	Document Access	Store Documents	Ability for a User to view conditions associated to a document being accessed (e.g., document has private / confidential information, has been categorized as non-public), when specific circumstances allow it	High	[REDACTED]	
2630	Document Access	Store Documents	Ability for an authorized User to remove a misfiled document from the Document Access Solution and replace with a substitute (e.g., in the event a single document such as an exhibit needs to be removed from a filing in Document Access, but not the entire filing)	Medium	[REDACTED]	
2640	Document Access	Provide Public Access	Ability for the Public to quickly search for documents based on metadata and provide a list of documents meeting that search criteria; Solution shall return a notification if no records are found	High	[REDACTED]	
2650	Document Access	Provide Public Access	Ability for the Public to apply filters (e.g., specific document types in a date range) when searching for document	High	[REDACTED]	
2660	Document Access	Provide Public Access	Ability for the Public or other designated User to perform full-text document searches supported by OCR technology. <i>In the comments please describe the approach to providing full text search capabilities.</i>	Medium	[REDACTED]	[REDACTED]
2670	Document Access	Provide Public Access	Ability for the Public to search metadata using advanced search techniques (e.g., Boolean)	High	[REDACTED]	
2680	Document Access	Provide Public Access	Ability for the Public to save a search query (including search parameters) for subsequent reuse (when logged in)	Medium	[REDACTED]	
2690	Document Access	Provide Public Access	Ability for the Public to preview a document and associated metadata in Document Access without opening the document (e.g., view the document as a thumbnail or in a preview pane to see document content); <i>In the comments, please describe preview capabilities available.</i>	High	[REDACTED]	[REDACTED]
2700	Document Access	Provide Public Access	Ability for a Global Administrator to configure watermarks specific to document types that are rendered when a document is viewed in preview mode	Low	[REDACTED]	[REDACTED]
2710	Document Access	Provide Public Access	Ability for a Jurisdiction Administrator, Global Administrator, or other authorized User to view the case document filing history on demand	High	[REDACTED]	[REDACTED]
2720	Document Access	Provide Public Access	Ability to restrict the Public from accessing restricted data (e.g., confidential information, sealed documents, or documents subject to nondisclosure orders) to ensure the security and privacy of those records and prevent unauthorized access to non-public court records	High	[REDACTED]	

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2730	Document Access	Provide Public Access	Ability for the Public to pay to access a document for a finite time period configurable in the Solution by the Global Administrator per business rules such as JCIT standards (e.g., 30-days) using the Texas.gov payment adaptor	High		
2740	Document Access	Provide Public Access	Ability for multiple members of the Public using the Solution to concurrently view the same document	High		
2750	Document Access	Provide Public Access	Ability for a member of the Public using the Solution to view multiple documents at one time and to easily navigate between the open documents	High		
2760	Document Access	Provide Public Access	Ability for the Public to separately view individual attachments or exhibits to a filed document	High		
2770	Document Access	Provide Public Access	Ability for the Public to view a Solution-generated document association (e.g., an answer or exhibit to a motion; a proof of service to the served document)	High		
2780	Document Access	Provide Public Access	Ability for the Public to download documents	High		
2790	Document Access	Provide Public Access	Ability for the Public to download and save multiple related documents at once (e.g. multi-select from a document list)	High		
2800	Document Access	Provide Public Access	Ability for a Global Administrator to configure roles and permissions that only apply to the Document Access Solution/component (e.g., per JCIT Technology Standards, Document Access Configurations including Document Access roles and permissions for roles such as Judges, Attorney on the Case, Visiting Judge, etc.)	High		
2801	Document Access	Provide Public Access	Ability for the Public to generate a hyperlink to a specific document. (e.g. to cite to that document from another document)	Medium		
2810	Document Access	Provide Public Access	Ability for a Global Administrator to add/configure email domains of people and users who get free access to documents as registered Users	High		
2820	Process Automation and Orchestration	Business Rules & Workflow	Ability to allow a jurisdictional administrator the ability to add and/or configure business rules in the Solution easily through the user interface (according to user roles/permissions) and metadata changes that result from the original activity that must be handled.	High		
2830	Process Automation and Orchestration	Business Rules & Workflow	Ability to trigger workflow tasks according to business rules configured in the Solution	High		

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2840	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to allow for the set-up of configurable workflows that include defined process steps and milestones of the common types of events and processes to be performed in the eFiling lifecycle	High	[REDACTED]	[REDACTED]
2850	Process Automation and Orchestration	Business Rules & Workflow	Ability for a Jurisdiction Administrator to create individual workflows for each document type and/or filing type	High	[REDACTED]	[REDACTED]
2860	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to support workflow task routing (scheduled, time-based, condition based, manual, etc.)	High	[REDACTED]	[REDACTED]
2870	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to track and to display all completed workflow tasks and related workflow data (i.e. timestamp, username) to provide a comprehensive view of activity taken on a record	High	[REDACTED]	[REDACTED]
2880	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to track statuses of objects configured in the Solution (tasks, documents, etc.)	High	[REDACTED]	[REDACTED]
2890	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to associate all configurable workflow tasks and associated permissions to a defined user role	High	[REDACTED]	[REDACTED]
2900	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to prevent or allow workflow task execution by a user according to the role-based security assigned to the user	High	[REDACTED]	[REDACTED]
2910	Process Automation and Orchestration	Business Rules & Workflow	Ability for the Solution to track statuses of objects configured in the Solution (tasks, documents, etc.)	High	[REDACTED]	[REDACTED]
2920	Process Automation and Orchestration	Business Rules & Workflow	Ability for a Jurisdiction Administrator to create and modify workflows within the EFM without IT or vendor support	High	[REDACTED]	[REDACTED]
2930	Process Automation and Orchestration	Business Rules & Workflow	Ability for a Filer's screen to dynamically display workflow forms, lists, and functions depending on whether the filing is to initiate a new case or an action on an existing case	High	[REDACTED]	[REDACTED]

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2940	Process Automation and Orchestration	Business Rules & Workflow	Ability for an authorized User to "disrupt" an in-progress workflow at any point to take a different action on a document, and to resume the workflow	Medium	[Redacted]	[Redacted]
2950	Process Automation and Orchestration	Business Rules & Workflow	Ability for a Global Administrator to apply workflow changes in real-time for new workflows without altering workflows in progress	High	[Redacted]	[Redacted]
2960	Process Automation and Orchestration	Business Rules & Workflow	Ability for a Jurisdiction Administrator to require addresses or other contract information for all parties included in a case	Medium	[Redacted]	[Redacted]
2970	Process Automation and Orchestration	Deliver Required Notifications	Ability to send outbound User notifications to any email service or workgroup product utilizing standard communication protocols	High	[Redacted]	[Redacted]
2980	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Global Administrator or Jurisdiction Administrator to configure workflows to issue notifications on designated actions (e.g., when the opposing party files, when a Clerk alters a submitted document)	High	[Redacted]	[Redacted]
2990	Process Automation and Orchestration	Deliver Required Notifications	Ability for the Solution to support configurable notifications (email, alerts) by notification type that are triggered according to configurable business rules	High	[Redacted]	[Redacted]
3000	Process Automation and Orchestration	Deliver Required Notifications	Ability for a user to effectuate service from the Solution (via email, physical mailings, etc.) and track the date and time services sent and opened (if sent electronically)	High	[Redacted]	[Redacted]
3010	Process Automation and Orchestration	Deliver Required Notifications	Ability to send a User notifications according to the modes of communication selected by Users at registration (e.g., email, text message)	Medium	[Redacted]	[Redacted]
3020	Process Automation and Orchestration	Deliver Required Notifications	Ability to use email as the default method for delivering User notifications	High	[Redacted]	[Redacted]

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3030	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Clerk or other designated User to define primary / default and alternate methods for Solution/workflow notifications to be received from among a set of options (e.g., email, text message)	High	[Redacted]	[Redacted]
3040	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Global Administrator and/or Jurisdiction Administrator to specify which notifications are required and which can be opted-out by a Filer	High	[Redacted]	[Redacted]
3050	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Filer to opt out of filing notifications defined as optional (e.g., email spam)	High	[Redacted]	[Redacted]
3060	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Filer to define jurisdiction-specific contact information (e.g., email and physical addresses) when setting up an eFiling account; Solution shall send notifications to the account-level contacts if no jurisdiction-specific contact information is provided	High	[Redacted]	[Redacted]
3070	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Global Administrator and/or Jurisdiction Administrator to issue Solution-wide broadcast notifications to online Users as needed	High	[Redacted]	[Redacted]
3080	Process Automation and Orchestration	Deliver Required Notifications	Ability for the EFM to distribute all notices for a case to all Attorneys filing an appearance on a case	Medium	[Redacted]	[Redacted]
3090	Process Automation and Orchestration	Deliver Required Notifications	Ability for a Global Administrator and/or Jurisdiction Administrator to configure issuance of an automated notification to a Filer of last-minute requests (e.g., request for a continuance submitted very shortly before a hearing is scheduled, including at the end of a day with the event being the next morning) where the filing may not be processed in the timeframe requested	High	[Redacted]	[Redacted]
3100	Process Automation and Orchestration	Deliver Required Notifications	Ability for an Attorney or designated service contact to change the attorney noticing status	High	[Redacted]	[Redacted]
3110	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Filer to apply (and read) electronic / digital signatures to filed documents	Low	[Redacted]	[Redacted]

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3120	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Jurisdiction Administrator to incorporate the use of signature capture devices (e.g., signature pads, signature apps on mobile devices) to obtain point-in-time signatures from persons not registered as Users of the Solution (e.g., a defendant in a courtroom setting)	Low		
3130	Process Automation and Orchestration	Apply Electronic Signature	Ability to impose a physical image of a User's signature on a document when the document is "signed" electronically (e.g., Judicial officer's signature on an order)	Low		
3140	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Filer or Judicial Officer to sign PDF documents	High		
3150	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Filer or Judicial Officer to select from multiple signature options	High		
3160	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Filer to submit a filing with multiple signatures to be placed on the same document	High		
3170	Process Automation and Orchestration	Apply Electronic Signature	Ability for a Judicial Officer to sign multiple documents at one time (e.g., within a single case or multiple cases)	Medium		
3180	Process Automation and Orchestration	Apply Electronic Signature	Ability for authorized User roles (e.g., Judicial Officers, Clerks) to authorize a designated User to "sign" a document on their behalf (e.g., one Judicial Officer may be asked to sign an order on behalf of another)	High		
3190	Process Automation and Orchestration	Apply Electronic Signature	Ability to restrict a User's access to signature images	Low		
3200	Process Automation and Orchestration	Data Entry	Ability to provide data validation rules to ensure data validity at the time of entry (e.g., prevent an alpha character to be entered into a field that is configured to have only numeric values entered by the user)	High		
3210	Process Automation and Orchestration	Data Entry	Ability for the Solution to pre-populate forms for the Filer with pertinent information from the CMS during filing preparation	High		

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3220	Process Automation and Orchestration	Data Entry	Ability for a Global Administrator and/or Jurisdiction Administrator to configure data validations into workflows (e.g., validations beyond those included in the preparation and submission steps)	High	[REDACTED]	[REDACTED]
3230	Process Automation and Orchestration	Data Entry	Ability to perform commands using any of the following methods:	High	[REDACTED]	
3240	Process Automation and Orchestration	Data Entry	Easy access toolbar	High	[REDACTED]	
3250	Process Automation and Orchestration	Data Entry	Keyboard	High	[REDACTED]	
3260	Process Automation and Orchestration	Data Entry	Right mouse click	High	[REDACTED]	
3270	Process Automation and Orchestration	Data Entry	Short cut commands	High	[REDACTED]	[REDACTED]
3280	Process Automation and Orchestration	Data Entry	User defined function keys (hot keys)	High	[REDACTED]	[REDACTED]
3290	Process Automation and Orchestration	Data Entry	Ability to allow the user to continue to enter data while the Solution is processing a previous transaction (e.g. a background search process)	High	[REDACTED]	
3300	Process Automation and Orchestration	Data Entry	Ability for the Solution to verify all required data fields have been completed prior to exiting a screen.	High	[REDACTED]	
3310	Process Automation and Orchestration	Data Entry	Ability for the Solution to verify all required data fields have been completed prior to executing a transaction.	High	[REDACTED]	
3320	Process Automation and Orchestration	Data Entry	Ability for the Solution to advise the user of required data necessary to complete a transaction or report.	High	[REDACTED]	
3330	Process Automation and Orchestration	Data Entry	Ability to cut and paste data between fields and across applications.	High	[REDACTED]	
3340	Process Automation and Orchestration	Data Entry	Ability to calculate and display the correct day of the week based on the calendar date for all date fields.	High	[REDACTED]	
3350	Process Automation and Orchestration	Data Entry	Ability to provide a feature to undo or cancel an entry or transaction prior to saving it	High	[REDACTED]	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3360	Account Administration	Register Accounts	Ability for a Global Administrator to configure account registration requirements and processes that are specific to a User types (e.g., Attorneys, self-represented litigants, court staff, law enforcement personnel, other agencies and other User types as necessary)	High	[REDACTED]	[REDACTED]
3410	Account Administration	Register Accounts	Ability for a Filer or another User to belong to multiple User groups, subgroups, roles, and jurisdiction while being managed with one unique identifier; <i>In the comments please describe the approach to provisioning security rites rights with potentially overlapping and/or conflicting role profiles.</i>	High	[REDACTED]	[REDACTED]
3420	Account Administration	Register Accounts	Ability for a Filer to create one individual account that is concurrently associated with one or more groups/organizations (e.g., an Attorney with a law firm who also performs pro bono work for a court)	High	[REDACTED]	[REDACTED]
3430	Account Administration	Register Accounts	Ability for an out-of-state Filer (pro hac vice Attorney) to register for e-Filing using their home state, home-state bar credentials, and their sponsoring attorney's Texas State Bar number	Medium	[REDACTED]	[REDACTED]
3440	Account Administration	Register Accounts	Ability for an out-of-state Filer (pro hac vice Attorney) to register for either a firm account and/or a self-registration account	Medium	[REDACTED]	[REDACTED]
3480	Account Administration	Administer Accounts	Ability for a Global Administrator (e.g., an administrator supporting operation of the entire Solution) to perform group/organization administrator functions	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3490	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator or Firm Administrator to set up sub-groups within a group for security administration (e.g., criminal division; civil division; firms)	High	[Redacted]	[Redacted]
3600	Account Administration	Administer Accounts	Ability for a User to receive a notification when a Jurisdiction Administrator makes changes to that User's account	High	[Redacted]	[Redacted]
3610	Account Administration	Administer Accounts	Ability for a User to turn off notifications of when a Jurisdiction Administrator makes changes to the User's account	Medium	[Redacted]	[Redacted]
3630	Account Administration	Administer Accounts	Ability for a User to receive a verification notice (e.g., email, according to the preferences of the User configured in the Solution) when changes are made to accounts to confirm that the account owner has been made (or is aware of) the change	High	[Redacted]	[Redacted]
3640	Account Administration	Administer Accounts	Ability for a Global Administrator and/ or Jurisdiction Administrator to identify potential Users to purge based on OCA defined criteria (e.g., based on the amount of time since they last logged into the Solution)	High	[Redacted]	[Redacted]
3500	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator or Firm Administrator to define, manage and control User rights and authorizations at the group / organization level (e.g., Law Firm, Friend of the Court, Prosecutor's Office)	High	[Redacted]	[Redacted]
3650	Account Administration	Administer Accounts	Ability for a Global Administrator and/ or Jurisdiction Administrator to send a mass email notification that informs potential Users that they need to log into eFileTexas 2.0 within a predefined time period or otherwise be purged out of the Solution	High	[Redacted]	[Redacted]
3660	Account Administration	Administer Accounts	Ability for a Global Administrator and/ or Jurisdiction Administrator to purge User accounts (e.g., delete, deactivate, or suspend)	High	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3670	Account Administration	Administer Accounts	Ability to retain all history of any User account that has been purged for a predefined period consistent with the State of Texas Records Retention laws (refer to <a href="https://www.tsl.texas.gov/slrn/rrs4#sec2.1">https://www.tsl.texas.gov/slrn/rrs4#sec2.1</a> )	High		
3680	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator to view status of filings submitted by all Users in their administration group	High		
3690	Account Administration	Manage Attorney & Firm Accounts	Ability for a Jurisdiction Administrator to establish Jurisdiction accounts with the authority to create individual User accounts for that jurisdiction	High		
3700	Account Administration	Manage Attorney & Firm Accounts	Ability for a Firm Administrator to assign Users (e.g., Attorneys, Filers) to a firm even if that User is already associated with another firm or office	High		
3730	Account Administration	Manage Attorney & Firm Accounts	Ability for a Firm Administrator to query the Solution by Filers, Attorneys, and Service Contact (e.g., view query results in the Solution, export query results to .csv or .xlsx, print query results, create standard reports, etc.), including but not limited to the following:	High		
3740	Account Administration	Manage Attorney & Firm Accounts	List of all Attorneys by associated cases and locations	High		
3750	Account Administration	Manage Attorney & Firm Accounts	List of all Attorneys by Service Contact	High		
3760	Account Administration	Manage Attorney & Firm Accounts	List of all Service Contacts by associated cases	High		
3770	Account Administration	Manage Attorney & Firm Accounts	Ability for a Firm Administrator to have administrative permissions across multiple locations of a firm (e.g., Super Firm Administrator).  For example, the ability to reassign Service Contacts by location, including the ability to reassign multiple cases at one time to filers or attorneys outside of one Firm Location's Service Contact List. For example, some cases include several firm locations and the reassignment must be able to be done efficiently rather than manually / individually, which is currently time consuming.	High		
3370	Account Administration	Register Accounts	Ability to require that a Filer provide a primary email address when setting up a new account, but also the ability to provide secondary email addresses	High		
3380	Account Administration	Register Accounts	Ability for a Filer to use self-service method(s) to set up their own User accounts	High		
3390	Account Administration	Register Accounts	Ability for a Filer to be notified of required information to complete when registering for an account (e.g., Users identified as a Texas Attorney must have a State Bar of Texas association number entered into their Attorney account)	High		
3400	Account Administration	Register Accounts	Ability for a User to use the same account to access any EFSP and/or the EFM	High		

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3450	Account Administration	Register Accounts	Ability for a User (Attorney) to define contact information specific to one or more courts when registering an account	High	[Redacted]	
3460	Account Administration	Register Accounts	Ability for a Filer (Attorney) to receive a prompting reminder to update the State Bar Registry with their current primary email address	Low	[Redacted]	
3470	Account Administration	Register Accounts	Ability to verify User accounts during account setup (e.g., email/text, CAPTCHA)	High	[Redacted]	
3780	Account Administration	Manage Attorney & Firm Accounts	Ability for a Firm Administrator to populate a user's previously captured profile information when adding service contacts to the firm master list	Medium	[Redacted]	[Redacted]
3510	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator to assign administrator responsibilities to multiple Users within an organization, with the ability to set limits for subordinate security administrators (e.g., a law firm administrator can reset a password for employees of that firm, but cannot establish new User profiles)	High	[Redacted]	[Redacted]
3520	Account Administration	Administer Accounts	Ability for a substitute Global Administrator (e.g., an administrator supporting operation of the entire Solution) to perform group/organization administrator functions in the event the regular group administrator is unavailable (e.g., a law firm group administrator who takes an emergency leave with no backup administrator)	High	[Redacted]	
3530	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator to create group/organization accounts with an unlimited number of people associated to the account	Medium	[Redacted]	
3540	Account Administration	Administer Accounts	Ability to require unique User names and passwords for each User	High	[Redacted]	[Redacted]
3550	Account Administration	Administer Accounts	Ability for a User to change/reset their own password via the Solution (without intervention of support staff)	High	[Redacted]	
3560	Account Administration	Administer Accounts	Ability for a User to retrieve forgotten User names and passwords through the Solution (without the intervention of support staff)	High	[Redacted]	
3570	Account Administration	Administer Accounts	Ability for a Filer to update their personal contact information, including the method(s) for how notification is to be performed (e.g., email, SMS)	High	[Redacted]	
3580	Account Administration	Administer Accounts	Ability for the solution to display to the Filer the terms and conditions to receive service electronically when they establish their account	High	[Redacted]	
3590	Account Administration	Administer Accounts	Ability for a Jurisdiction Administrator to designate specific groups of Filers (e.g., government filers) who do not pay for filings	Medium	[Redacted]	[Redacted]
3620	Account Administration	Administer Accounts	Ability for a Filer to designate multiple secondary contacts at the account level for their notifications	Medium	[Redacted]	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3810	Account Administration	Manage pro se Litigants	Ability for a Global Administrator to set parameters (e.g., number of days since closure of last active filing) that cause the Solution to automatically close the pro se litigant's account	Medium	[REDACTED]	[REDACTED]
3710	Account Administration	Manage Attorney & Firm Accounts	Ability for a Firm Administrator to remove a User (Attorney) from a Firm	High	[REDACTED]	[REDACTED]
3720	Account Administration	Manage Attorney & Firm Accounts	Ability for a User (Attorney) to view a list of cases which are currently or have been previously associated with a service contact	High	[REDACTED]	[REDACTED]
3790	Account Administration	Manage pro se Litigants	Ability for a Pro se Litigant to register and administer their account without providing an attorney of record	Medium	[REDACTED]	[REDACTED]
3800	Account Administration	Manage pro se Litigants	Ability for a Pro se Litigant to be added as a Service Contact to a case (e.g., search and select by email address)	High	[REDACTED]	[REDACTED]
3820	Integration	General	Ability to provide a fully integrated Solution inclusive of eFiling, Forms Assembly, Document Access, and Redaction capabilities that provides a seamless experience for the user	High	[REDACTED]	[REDACTED]
3830	Integration	General	Ability to log the execution and timing of all interface transactions and data exchanges	High	[REDACTED]	[REDACTED]
3840	Integration	General	Ability to provide APIs to enable Forms Assembly authoring tools provided by multiple third party vendors (e.g., HotDocs, A2J Author, Docassemble, etc.) for groups such as Texas Legal Help to create templates and forms for pro se Litigants	Medium	[REDACTED]	[REDACTED]
3850	Integration	General	Ability to include API(s) to support the generation of citations using jurisdiction specific template	Low	[REDACTED]	[REDACTED]
3860	Integration	General	Ability to automate and monitor for API errors (outbound or inbound)	High	[REDACTED]	[REDACTED]
3870	Integration	General	Ability to integrate with asynchronous methods where practical and provide visibility to API/transaction status to identify problems (e.g., if a filing is stuck somewhere in the workflow)	High	[REDACTED]	[REDACTED]
3880	Integration	General	Ability to notify the Global Administrator after an OCA specified number of retries related to integration with 3rd party Solutions	High	[REDACTED]	[REDACTED]
3890	Integration	General	Ability for a jurisdiction to interface its own forms management software (e.g., Adobe Lifecycle Designer)	Low	[REDACTED]	[REDACTED]
3900	Integration	Integrate with CMS / DMS	Ability for the eFileTexas 2.0 Solution to integrate with the CMS to establish jurisdiction specific EFM parameters (e.g., allowable code values, court level workflows)	Low	[REDACTED]	[REDACTED]
3910	Integration	Integrate with CMS / DMS	Ability to provide an API that a CMS vendor can call to send a document to the eFileTexas 2.0 Solution. <i>In the comments describe how this requirement would be met.</i>	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
3920	Integration	Integrate with CMS / DMS	Ability to allow preparation and submission of filings while the relevant CMS is not available and flag the filing as such in the clerk review queue	High	[REDACTED]	
3930	Integration	Integrate with CMS / DMS	Ability to persist submissions in a queue for later processing in the event the CMS is down, and automatically complete the submission when the CMS is back up	High	[REDACTED]	
3940	Integration	Integrate with CMS / DMS	Ability for a Global Administrator to maintain EFM parameters necessary for an individual Jurisdiction CMS to interface/connect to the EFM without the need for support from the EFM vendor and without the need to modify EFM code (where practical). In the comments, please describe limitations related to establishment of such integration	High	[REDACTED]	[REDACTED]
3950	Integration	Integrate with CMS / DMS	Ability to use confidentiality status of record from CMS when granting Public or other designated Users access to case documents in Document Access	High	[REDACTED]	
3960	Integration	Integrate with CMS / DMS	Ability for Document Access to intake CMS generated documents	Medium	[REDACTED]	
3970	Integration	Integrate with CMS / DMS	Ability for the EFM to provide a CMS with any available filing metadata (e.g., document type, filing date, acceptance date, party information, attorney of record) when the filing is accepted	High	[REDACTED]	
3980	Integration	Integrate with CMS / DMS	Ability for the EFM to provide the CMS with filing date stamp details	High	[REDACTED]	
3990	Integration	Integrate with CMS / DMS	Ability to integrate Filer payment and receipt processing with CMS. <i>In the comments please describe how this requirement would be met.</i>	High	[REDACTED]	[REDACTED]
4000	Integration	Integrate with CMS / DMS	Ability for a Clerk to view select case information configured to pass through from an integrated CMS when reviewing a document	Low	[REDACTED]	
4010	Integration	Integrate with CMS / DMS	Ability for a Public user to view CMS case information (e.g., Register of Actions) in Document Access (if CMS is integrated)	Low	[REDACTED]	
4020	Integration	Integrate with CMS / DMS	Ability for the Public or other authorized User to view all documents associated with a consolidated case based on case consolidation data from CMS	Low	[REDACTED]	
4030	Integration	Integrate with CMS / DMS	Ability for a Clerk to view jurisdiction-specific reference code descriptions which may be different than the descriptions presented to the Filer (e.g., case region, case type, filing code, document type (exhibit, motion, letter))	High	[REDACTED]	
4040	Integration	Integrate with CMS / DMS	Ability for a Filer to view the assigned Judicial Officer and court dates as provided by the CMS	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4050	Integration	Integrate with CMS / DMS	Ability to automatically update document metadata in Document Access when a Clerk updates information in a CMS for a case that also exists in eFileTexas 2.0 (e.g., party information)	Low	[REDACTED]	
4060	Integration	Integrate with CMS / DMS	Ability for a Clerk and/ or Filer to enter a link of a document to a case event (e.g., a motion hearing) and for the Solution to provide the CMS with a record of the linkage at the time of acceptance	High	[REDACTED]	
4070	Integration	Integrate with CMS / DMS	Ability to use CMS case consolidation data to prevent a Filer from filing new documents into cases which are inactive after the consolidation	Medium	[REDACTED]	[REDACTED]
4080	Integration	Integrate with CMS / DMS	Ability to use relevant case information from the CMS when performing validations of filing information provided by the Filer during filing preparation, submission and Clerk review (e.g., validating that a judgment exists before a garnishment is filed)	High	[REDACTED]	
4090	Integration	Integrate with CMS / DMS	Ability to include CMS data (where applicable) when providing validation failure messages to the Filer	High	[REDACTED]	
4100	Integration	Integrate with CMS / DMS	Ability to distribute notices created by the CMS (e.g., calendar settings) to parties per registered notification parameters supplied by the Filer in the eFileTexas 2.0 Solution	Low	[REDACTED]	[REDACTED]
4110	Integration	Integrate with CMS / DMS	Ability to send Fee Waiver requests to the CMS and receive waiver approval/rejections from the CMS	Low	[REDACTED]	[REDACTED]
4120	Integration	Integrate with External EFSP	Ability for a Global Administrator to maintain EFM parameters necessary for the EFSP to connect to the EFSP without the need for support from the eFileTexas 2.0 Solution vendor and without the need to modify EFM code	High	[REDACTED]	[REDACTED]
4130	Integration	Integrate with External EFSP	Ability for a Global Administrator to terminate an EFSP service at the discretion of OCA	High	[REDACTED]	[REDACTED]
4140	Integration	Integrate with External EFSP	Ability for a Global Administrator to suspend an EFSP service at the discretion of OCA	High	[REDACTED]	[REDACTED]
4150	Integration	Integrate with External EFSP	Ability to provide OCA with an OCA approved certification program with which EFSPs must comply before connecting with the EFM	High	[REDACTED]	[REDACTED]
4160	Integration	Integrate with External EFSP	Ability for EFSPs to submit filings to the EFM conformant with the existing ECF 4.01 standard with extensions	High	[REDACTED]	[REDACTED]

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4170	Integration	Integrate with External EFSP	Ability for a EFSPs to submit filings to the EFM conformant with the ECF 5.0 standard	Medium	[REDACTED]	[REDACTED]
4180	Integration	Integrate with External EFSP	Ability to not limit the number of connected EFSPs	High	[REDACTED]	[REDACTED]
4190	Integration	Integrate with External EFSP	Ability to require all EFSPs (vendor provided and 3rd party EFSP) to utilize the same APIs to integrate with the EFM	High	[REDACTED]	[REDACTED]
4200	Integration	Integrate with External EFSP	Ability to provide sample messages to help EFSP's comply with filing message format requirements of the EFM	High	[REDACTED]	[REDACTED]
4210	Integration	Integrate with External EFSP	Ability to provide an API to receive a ECF message from the CMS to trigger an expunction in the EFM and document access	High	[REDACTED]	[REDACTED]
4220	Integration	Integrate with External EFSP	Ability to persist submissions in a queue for later processing in the event the e-Filing Manager (EFM) is down, and automatically complete the submission when the EFM is back up	High	[REDACTED]	[REDACTED]
4230	Integration	Integrate with External EFSP	Ability for a Filer (Direct Filer) (e.g., process servers, district attorneys) to submit filings directly to the EFM conformant with the ECF 4.01 standard	High	[REDACTED]	[REDACTED]
4240	Integration	Integrate with External EFSP	Solution EFM vendor shall provide EFSPs access to a test environment that mirrors the web services or other interface methods available in the production environment, and a standard set of EFSP certification scenarios for the EFSP to execute to the satisfaction of OCA and the eFileTexas 2.0 Solution vendor	High	[REDACTED]	[REDACTED]
4250	Integration	Integrate with Redaction	Ability for a Filer to utilize redaction capabilities fully integrated into the eFileTexas 2.0 Solution user interface, including seamless integration with any third party redaction tool(s) that may be included in the eFileTexas 2.0 Solution. <i>Please describe the redaction capabilities of the proposed Solution in the comments.</i>	High	[REDACTED]	[REDACTED]
4260	Integration	Integrate with Payment Adaptor	Ability to integrate with Texas.gov for use by registered Users for payment by credit card or electronic check ("eCheck") of filing fees and other applicable fees incurred through the eFileTexas 2.0 Solution	High	[REDACTED]	[REDACTED]

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4270	Integration	Integrate with Payment Adaptor	Ability to integrate with the Texas.gov payment processor using the Transaction Processing Engine (TPE) Direct method	High		
4280	Integration	Integrate with Payment Adaptor	Ability to capture all fees for applicable accepted filings	High		
4290	Integration	Integrate with Payment Adaptor	Ability to not accept any court document for filing unless the required filing fees have been assessed or a fee waiver is in effect	High		
4300	Integration	Integrate with Payment Adaptor	Ability for a Global Administrator to configure a variable convenience fee for Document Access search transactions based on the payment method (e.g., credit card, eCheck)	High		
4310	Reporting	Provide Standard Reporting	Ability for eFileTexas 2.0 to report on information contained in or generated by all Solution components (e.g., EFM, State EFSP, Document Access, etc.)	High		
4320	Reporting	Provide Standard Reporting	Ability for an authorized Users to generate standard reports at the jurisdiction or statewide levels	High		
4330	Reporting	Provide Standard Reporting	Ability for a Jurisdiction Administrator to create/configure detailed reports of filing metadata and workflow data using reporting tools provided within the eFileTexas 2.0 Solution	High		
4340	Reporting	Provide Standard Reporting	Ability for a Global Administrator or Jurisdiction Administrator to limit content shown on reports to data only from the jurisdiction requesting the report	High		
4350	Reporting	Provide Standard Reporting	Ability for a Clerk or other authorized User to access configured reports available in the eFileTexas 2.0; the vendor shall provide a minimum set of reports including but not limited to the following indented report types specified in the requirements below:	High		
4360	Reporting	Provide Standard Reporting	Daily, Weekly, and Monthly Court Payments Report for a given date/month	High		
4370	Reporting	Provide Standard Reporting	Itemized court payments listing for specified parameters (e.g., date range)	High		
4380	Reporting	Provide Standard Reporting	Batch summary deposit listing	High		
4390	Reporting	Provide Standard Reporting	Detail reports enumerating collected amounts with breakdown across different fee types	High		
4400	Reporting	Provide Standard Reporting	Itemized envelope and filing listing for a given date range	High		
4410	Reporting	Provide Standard Reporting	Daily report of all transactions and associated fees	High		
4420	Reporting	Provide Standard Reporting	Filing quality reports (e.g., Time to Disposition, Return for Correction by Reason, Return for Corrections by Firm)	High		
4430	Reporting	Provide Ad Hoc Reporting	Ability for authorized Users to generate ad hoc reports based on unique, user-defined queries	Medium		

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4440	Reporting	Provide Ad Hoc Reporting	Ability for real time or near real time data access for ad hoc reporting	Medium	[REDACTED]	[REDACTED]
4450	Reporting	Provide Ad Hoc Reporting	Ability to create prescheduled, periodic and real-time custom-query reports and analytics of workload (e.g., workload - number of each type of documents filed and totals; performance - time between submission and receipt of filings)	High	[REDACTED]	[REDACTED]
4460	Reporting	Provide Ad Hoc Reporting	Ability for a Global Administrator and/or Jurisdiction Administrator to expose filing metadata and workflow data to third-party reporting tools	High	[REDACTED]	[REDACTED]
4470	Reporting	Provide Ad Hoc Reporting	Ability for a Jurisdiction Administrator or other designated Users to generate payment-based reports (e.g., daily, weekly, monthly financial reports of fee, assessments, payments, etc., and totals by fee type to support reconciliation processes)	High	[REDACTED]	[REDACTED]
4480	Solution Administration	Federated Identity Access Management	Ability to support federated identity access management across OCA and the Texas courts	High	[REDACTED]	[REDACTED]
4490	Solution Administration	Enforce Security	Ability for eFileTexas 2.0 to include a role of Global Administrator with rights to administer Solution functions and configuration applicable to all jurisdictions	High	[REDACTED]	[REDACTED]
4500	Solution Administration	Enforce Security	Ability for eFileTexas 2.0 to include a role of Jurisdiction Administrator with rights to administer Solution functions and configuration applicable only to a single jurisdiction	High	[REDACTED]	[REDACTED]
4510	Security	Enforce Security	Ability for a Global Administrator or Jurisdiction Administrator to maintain a federated, delegated security model to define, manage and control (e.g., add, assign, revoke) user rights and authorizations (e.g., the information any individual user can view, edit, delete) via role-based security profiles. <i>Describe / list all features and limitations.</i>	High	[REDACTED]	[REDACTED]
4520	Security	Enforce Security	Ability for a Global Administrator or Jurisdiction Administrator to define security profiles either for roles or individuals (e.g., review clerks can view all documents in all queues for their court; a particular Clerk who can only view documents assigned to a particular judge)	High	[REDACTED]	[REDACTED]
4530	Security	Enforce Security	Ability to assign an individual User to multiple security profiles. <i>Describe in the comments any limitations for Users assigned to multiple profiles.</i>	High	[REDACTED]	[REDACTED]
4540	Security	Enforce Security	Ability to establish a hierarchy for security profiles	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4550	Security	Enforce Security	Ability for a Jurisdiction Administrator to perform / manage security and Solution functions only for their local User base (e.g., court staff and clerks), filings, and documents	High	[Redacted]	[Redacted]
4560	Solution Administration	Enforce Security	Ability for a Global Administrator to define field and data element level permissions	High	[Redacted]	[Redacted]
4570	Solution Administration	Enforce Security	Ability for a Global Administrator to define transaction and function level permissions	High	[Redacted]	[Redacted]
4580	Solution Administration	Enforce Security	Ability for a Global Administrator to define screen or window level permissions	High	[Redacted]	[Redacted]
4590	Solution Administration	Enforce Security	Ability for a Global Administrator to alter the security of an individual content item (e.g., document, case, etc.)	High	[Redacted]	[Redacted]
4600	Solution Administration	Enforce Security	Ability for a Global Administrator to alter the security of a content group or aggregation as a unit	High	[Redacted]	[Redacted]
4610	Solution Administration	Enforce Security	Ability for a Global Administrator to deploy security changes immediately without needing to restart the Solution	High	[Redacted]	[Redacted]
4620	Solution Administration	Enforce Security	Ability for an authorized User to securely access non-public documents or data based on user role and permissions configured in the Solution	High	[Redacted]	[Redacted]
4630	Solution Administration	Enforce Security	Ability for Clerk to apply security controls to individual documents. <i>In the comments please describe how this requirement is met.</i>	Medium	[Redacted]	[Redacted]
4640	Solution Administration	Enforce Security	Ability for the eFileTexas 2.0 Solution to secure electronic transmission of data and documents between all external Solutions and the EFM	High	[Redacted]	[Redacted]
4650	Solution Administration	Enforce Security	Ability for the eFileTexas 2.0 Solution to encrypt data in transit and data at rest at least at TLS 1.3 and based on rules such as document types, sensitive data, etc.	High	[Redacted]	[Redacted]
4660	Solution Administration	Enforce Security	Ability for a Global Administrator to define rules that govern password format and strength (e.g., must be ### characters, must include combination of character types, cannot use User ID as password, cannot use own name, phone number); Solution shall automatically validate entered password	High	[Redacted]	[Redacted]
4670	Solution Administration	Enforce Security	Ability to require that passwords be changed at defined intervals (e.g., 180 days); Solution shall issue prompts to Users to reset passwords as the time period approaches	High	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4680	Solution Administration	Enforce Security	Ability to provide multi-factor authentication	High	[Redacted]	[Redacted]
4690	Solution Administration	Enforce Security	Ability to create a unique account identifier for Users that does not include the User's email nor any other data that may change in the future	High	[Redacted]	[Redacted]
4700	Solution Administration	Enforce Security	Ability to issue an email and/or SMS alert to the User for which a login attempt failed	High	[Redacted]	[Redacted]
4710	Solution Administration	Enforce Security	Ability to provide Users the ability to logout at any time from any screen	High	[Redacted]	[Redacted]
4720	Solution Administration	Enforce Security	Ability for Jurisdiction Administrators to configure the duration of the timeout setting that ends a User's session; the Jurisdiction Administrator shall have the ability to configure different settings for different roles (e.g., Filer, Clerk) within their jurisdiction	High	[Redacted]	[Redacted]
4730	Solution Administration	Enforce Security	Ability for a Global Administrator and Jurisdiction Administrator to immediately "terminate" a User's session	High	[Redacted]	[Redacted]
4740	Solution Administration	Enforce Security	Ability for a Global Administrator and Jurisdiction Administrator to lock Users out of the Solution	High	[Redacted]	[Redacted]
4750	Solution Administration	Enforce Security	Ability to include measures for the detection and prevention of unauthorized access intrusion attempts, including notifying OCA of abnormal activities (e.g., geolocating threats). <i>Describe how this requirement would be met</i>	High	[Redacted]	[Redacted]
4760	Solution Administration	Administer Certificates	Ability to provide a digital certificate that meets OCA defined requirements (e.g. use public key infrastructure (PKI) technology, be X.509 compliant, include an image of a Users electronic signature, etc., as defined in Local Government Code 118.011(3)(B) and Government Code 51.318(b)(7))	High	[Redacted]	[Redacted]
4770	Solution Administration	Monitor Solution Health	Ability to support redundancies which allow for continued Solution access in the event of a Solution component outage (e.g., clustering, replication)	High	[Redacted]	[Redacted]
4780	Solution Administration	Monitor Solution Health	Ability to automatically failover to a replicated / backup Solution at any time	High	[Redacted]	[Redacted]
4790	Solution Administration	Monitor Solution Health	Ability to save in-process data entry during a Solution outage	High	[Redacted]	[Redacted]
4800	Solution Administration	Execute Quality Control Procedures	Ability for a Clerk, Global Administrator, or Authorized User to generate reports of login accounts and last time a User logged in within their security context	High	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4810	Solution Administration	Execute Quality Control Procedures	Ability to configure multiple environments, including Production, Preproduction, and Development environments at a minimum. <i>Describe your proposed environments and what they will be used for, including the environment where Training and Testing would occur.</i>	High	[REDACTED]	[REDACTED]
4820	Solution Administration	Execute Quality Control Procedures	Ability for the test environment to include reliable, current configuration for EFSP's to successfully test integrations against new EFM features	High	[REDACTED]	[REDACTED]
4830	Solution Administration	Execute Quality Control Procedures	Ability for the test environment to include current infrastructure patch levels for EFSP's to successfully test integrations against new EFM features	High	[REDACTED]	[REDACTED]
4840	Solution Administration	Administer Configuration	Ability for a Global Administrator and/ or Jurisdiction Administrator to configure and change online screen forms without vendor assistance	High	[REDACTED]	[REDACTED]
4850	Solution Administration	Administer Configuration	Ability for Global Administrator to configure eFileTX2.0 to support the full structure of Texas Courts (e.g., Supreme, Appeals, District, County-Level, Justice and Municipal Courts)	High	[REDACTED]	[REDACTED]
4860	Solution Administration	Administer Configuration	Ability for a Global Administrator to define statewide filing elements (e.g., case types, document types, document titles)	High	[REDACTED]	[REDACTED]
4870	Solution Administration	Administer Configuration	Ability for a Clerk to view and edit allowable case / document sub-types values specific to their jurisdiction (note: clerks can only view/edit the court-related components)	Low	[REDACTED]	[REDACTED]
4880	Solution Administration	Administer Configuration	Ability for a Global Administrator or Jurisdiction Administrator to update tables and lists without impacting filings already in process or completed; the Solution will use version control to maintain referential integrity for data recorded previous to the table update	High	[REDACTED]	[REDACTED]
4890	Solution Administration	Administer Configuration	Ability to include an integrated forms management tool for creating, editing, and incorporating security policies (e.g., Adobe).	High	[REDACTED]	[REDACTED]
4900	Solution Administration	Administer Configuration	Ability for a Global and/or Jurisdiction Administrator to be able to self-manage configuration. <i>Please describe in the comments the features available to be self-managed, what role(s) can manage them.</i>	High	[REDACTED]	[REDACTED]
4901	Solution Administration	Administer Configuration	Ability for the Contractor and Global Administrator (and no other roles) to manage which configuration items can be self-managed by other roles.	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
4910	Solution Administration	Administer Configuration	Ability for EFSP's to receive configuration updates (adds, changes and deletes) of only those configuration entries that have changed (i.e., only pull configuration changes rather than the entire configuration code library). <i>Describe methods to inform EFSPs of configuration changes (e.g., notifications, subscriptions to push configuration changes), methods for EFSPs to query for changes, and any performance implications and/or limitation in the comments.</i>	High	[REDACTED]	[REDACTED]
4920	Solution Administration	Administer Configuration	Ability for a Global Administrator or Jurisdiction Administrator to utilize a user interface to administer tables, rules and other configuration settings within their security context.	High	[REDACTED]	[REDACTED]
4930	Solution Administration	Administer Configuration	Ability to account for state and jurisdiction specific holidays and weekends when calculating dates and durations	High	[REDACTED]	[REDACTED]
4940	Solution Administration	Administer Configuration	Ability for a Jurisdiction Administrator to define a jurisdiction-specific calendar	High	[REDACTED]	[REDACTED]
4950	Solution Administration	Administer Configuration	Ability to account for state and jurisdiction specific holidays and weekends when calculating dates and durations	High	[REDACTED]	[REDACTED]
4960	Solution Administration	Administer Configuration	Ability to synchronize with a central Solution clock	High	[REDACTED]	[REDACTED]
4970	Solution Administration	Administer Configuration	Ability to automatically adjust the Solution time for daylight savings time on all Solution components	High	[REDACTED]	[REDACTED]
4980	Solution Administration	Administer Configuration	Ability to utilize a Master Time Clock that utilizes Network Time Protocol (NTP) in order to ensure consistent and accurate time throughout all Solution components	High	[REDACTED]	[REDACTED]
4990	Solution Administration	Perform Audit	Ability for a Global Administrator and/or Jurisdiction Administrator to query and view a record of all transactions completed in the eFileTexas 2.0 Solution including the associated user ID, date, time and transaction type	High	[REDACTED]	[REDACTED]
5000	Solution Administration	Perform Audit	Ability for a Global Administrator and Jurisdiction Administrator to generate Solution administration and performance reports (e.g., activity, inactivity, audit trails, effectiveness, reject rates, Solution metrics)	High	[REDACTED]	[REDACTED]
5010	Solution Administration	Perform Audit	Ability for a Global Administrator or Jurisdiction Administrator to export reports and query results of audit information to external products (e.g., Excel) for further processing	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
5020	Solution Administration	Perform Audit	Ability to log all User activities and actions (e.g., submission, acceptance/rejection, forwarding for further action, log on, log off, failed access, adds/changes/deletions, chain of custody, filing processing date and timestamps for User activity, notifications sent)	High	[REDACTED]	
5030	Solution Administration	Perform Audit	Ability to assign a unique identifier for each filing transaction and associate that identifier to each case included in the filing	High	[REDACTED]	
5040	Records Management	Archive Records	Ability for a Global Administrator to manage archiving and deletion of existing metadata and transaction data from the Solution per JCIT Technology Standards and OCA Record Retention Policy	High	[REDACTED]	[REDACTED]
5050	Records Management	Retain Records	Ability for a Jurisdiction Administrator to specify the retention of all versions of documents (e.g., as submitted, as accepted with file stamps and any updates)	Low	[REDACTED]	[REDACTED]
5060	Records Management	Seal / Expunge Records	Ability for Clerk to seal documents and restrict access only to designated Users	High	[REDACTED]	
5070	Records Management	Seal / Expunge Records	Ability for a Filer or Clerk to seal individual or multiple documents in one action (e.g., all documents in a case)	High	[REDACTED]	
5080	Records Management	Seal / Expunge Records	Ability for a Clerk to unseal individual or multiple documents in one action (e.g., all documents in a case)	High	[REDACTED]	
5090	Records Management	Seal / Expunge Records	Ability for a Clerk to view an indicator of "under seal" status to alert the reviewer when processing sealed documents	High	[REDACTED]	
5100	Records Management	Seal / Expunge Records	Ability for a Filer to file documents "under seal" and for the Clerk to view that status when reviewing the filing	High	[REDACTED]	
5110	Records Management	Seal / Expunge Records	Ability for a Global Administrator or other designated User to manually request the Solution expunge all documents related to a case based on case identifiers	High	[REDACTED]	
5120	Records Management	Seal / Expunge Records	Ability for Document Access to automatically expunge, seal, or unseal applicable documents in Document Access based on a request generated by the case owner in a CMS transaction	Medium	[REDACTED]	[REDACTED]
5130	Records Management	Seal / Expunge Records	Ability for a designated User (e.g., case owner) to submit a request from a CMS to Document Access that requests a case and all associated documents is expunged, sealed, or unsealed	High	[REDACTED]	[REDACTED]
5140	Records Management	Seal / Expunge Records	Ability for a Global Administrator to request the Solution to expunge multiple documents based on common meta data parameters	Medium	[REDACTED]	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
5150	Records Management	Seal / Expunge Records	Ability for a Jurisdiction Administrator to configure whether eFileTexas 2.0 allow filing into a sealed cases within the given jurisdiction	Low	[REDACTED]	
5160	Records Management	Seal / Expunge Records	Ability for a Clerk or Global Administrator to receive a notification when an expungement is complete (e.g., for expunctions originating from the Clerk, notifications to OCA staff)	High	[REDACTED]	
5170	General (Global)	Browser and OS Support	Ability to be browser-based and accessible by any browser (e.g., Chrome, Internet Explorer, Firefox, Safari and Edge versions back to n-2) running on any operating Solution platform	High	[REDACTED]	[REDACTED]
5180	General (Global)	Browser and OS Support	Ability to not require any browser plug-ins, extensions, or add-in applets to function	High	[REDACTED]	
5190	General (Global)	Compatibility	Ability to support HTTPS and automatically redirect requests for HTTP to HTTPS	High	[REDACTED]	
5200	General (Global)	Compatibility	Ability to support sending SFTP envelopes to CMS (e.g., batch process via web services)	High	[REDACTED]	
5210	General (Global)	Compatibility	Ability to support SOAP protocols for exchanging information via web services with ECF 4 and ECF 5	High	[REDACTED]	
5220	General (Global)	Compatibility	Ability to support REST and/or JSON styles for exchanging filings via web services in the future (e.g., in the event that ECFx will support REST services). <i>Describe any roadmap initiatives to support REST and JSON in the future.</i>	Low	[REDACTED]	[REDACTED]
5230	General (Global)	Standards	Ability to not prevent end-Users from concurrently starting or accessing other applications from their computers	High	[REDACTED]	
5240	General (Global)	Standards	Ability to not require the deployment of end-User workstation / client-side components or workstation setting changes to use the Solution (e.g., general compatibility with any workstation running internet browser versions "n-2")	High	[REDACTED]	
5250	General (Global)	Standards	Ability to support web services using auto-generation with XML schemas. <i>Describe any limitations or constraints.</i>	High	[REDACTED]	[REDACTED]
5260	General (Global)	Standards	Ability to maintain compliance with Texas Administrative Code (TAC) 202 (security standards), 206 (accessibility standards for websites), 213 (accessibility standards for anything else), and WCAG 2.1. <i>Describe methods to provide reports to verify compliance.</i>	High	[REDACTED]	
5270	General (Global)	Standards	Ability to maintain compliance with LegalXML ECF 4.01 Texas extension and maintain currency with the standard as approved by OCA. <i>Describe the recommended approach to transition from ECF 4.01 to ECF 5.</i>	High	[REDACTED]	[REDACTED]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
5280	General (Global)	Device Support	Ability for a Jurisdiction Administrator to designate computers for public use to create and submit filings at the Clerk's office or courthouse	High	[Redacted]	[Redacted]
5290	General (Global)	Device Support	Ability for a Flier to initiate the scanning of documents from the filing screens at public use terminals that do not require the document to be saved to the computer's local drive (or are automatically deleted when the User's session has ended)	High	[Redacted]	[Redacted]
5300	General (Global)	Device Support	Ability for a User to perform all functions (e.g., prepare and submit filings, review filings, access documents) from any computer and supported mobile device with internet access	High	[Redacted]	[Redacted]
5310	General (Global)	Device Support	Ability to utilize single and / or dual monitors	High	[Redacted]	[Redacted]
5320	General (Global)	Device Support	Ability to provide remotely accessible by the vendor through a VPN connection (or other means of secure remote access) to provide remote support	High	[Redacted]	[Redacted]
5330	General (Global)	Device Support	Ability to support multiple input methods based on User device and preference (e.g., mouse, keyboard, touchscreen)	High	[Redacted]	[Redacted]
5340	General (Global)	Online Help	Ability for a Jurisdiction Administrator to configure jurisdiction specific screen and field level help which is displayed to a User for Solution transactions where the jurisdiction context is established (e.g., after a Filer selects the jurisdiction for a filing)	High	[Redacted]	[Redacted]
5350	General (Global)	Online Help	Ability for a Global Administrator and/or Jurisdiction Administrator to incorporate videos with online documentation for help or training purposes	Medium	[Redacted]	[Redacted]
5360	General (Global)	Online Help	Ability for the eFileTexas 2.0 Solution help menus to be consistent with industry-standards for online help structures (e.g., contents and index, searching, "about", report a problem)	High	[Redacted]	[Redacted]
5370	General (Global)	Online Help	Ability to inform Users of "What's New" (revisions, additions, deletions) when accessing documentation which has been updated	High	[Redacted]	[Redacted]
5380	General (Global)	Search	Ability for a User to use a type-ahead feature for drop-down lists (e.g. user enters "te" and cursor jumps to drop-down list values starting with "te")	High	[Redacted]	[Redacted]
5390	General (Global)	Search	Ability for a User to perform searches using individual or multiple fields (e.g., case number (full or partial), attorney, party names); Solution shall allow the use of wild cards and provide the ability to designate whether partial matches are acceptable or not	High	[Redacted]	[Redacted]

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
5400	General (Global)	Search	Ability for User to search for exact matches within target datasets (e.g., court - search based on detail information within a court; court type - search based on detail information across all courts within a county's District Courts; state - search based on detail information across all courts within the State)	High	[REDACTED]	
5410	General (Global)	Search	Ability to search across document files and within documents using keywords, wild cards and Boolean operands (and, or, not); Solution shall provide the ability to designate whether partial matches are acceptable or not	High	[REDACTED]	[REDACTED]
5420	General (Global)	Search	Ability for a User to sort the search results	High	[REDACTED]	[REDACTED]
5430	General (Global)	Search	Ability for a User to initiate a subsequent search on the search results set	High	[REDACTED]	
5440	General (Global)	Search	Ability for a User to abort a search	High	[REDACTED]	
5450	General (Global)	User Interface	Ability to use standard word processing capabilities (e.g., word wrap, spell check, backspace, delete, undo, insert, overwrite) in free-form text fields	High	[REDACTED]	
5460	General (Global)	User Interface	Ability to designate fields for which data is required to be entered; Solution shall highlight fields which must be completed and prevent Users from proceeding to the next screen until valid information is entered	High	[REDACTED]	
5470	General (Global)	User Interface	Ability to define required relationships between screen-form data fields (e.g., if data is entered in one field, data must exist or be entered in the related field)	High	[REDACTED]	
5480	General (Global)	User Interface	Ability to automatically display additional fields based on entered data (e.g., the next line for additional data is displayed when one line is filled in or when a User selects an option from a list)	High	[REDACTED]	
5490	General (Global)	User Interface	Ability to provide multi-language support in the filing interface with the ability to support additional languages in the future (e.g., ANSI standard, special character support)	High	[REDACTED]	
5500	General (Global)	User Interface	Ability for Jurisdiction Administrators to include contact information in error messages custom for their jurisdiction	Medium	[REDACTED]	[REDACTED]
5510	General (Global)	User Interface	Ability to prevent errors or repetitive requests from inadvertent multiple clicks by a User	High	[REDACTED]	
5520	General (Global)	User Interface	Ability to highlight errors (e.g., data entry, submission failures) and prompt User for correction	High	[REDACTED]	
5530	General (Global)	User Interface	Ability to display visual indicators to denote that a transaction is in progress	High	[REDACTED]	
5540	General (Global)	User Interface	Ability to display visual indicators to denote that a transaction is complete	High	[REDACTED]	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
5550	General (Global)	User Interface	Ability to display visual indicators to indicate the categorization of common document types in work queues	High	[REDACTED]	
5560	General (Global)	User Interface	Ability to display a list or thumbnail views of documents, with the ability for Users to switch between thumbnail view and list view	High	[REDACTED]	
5570	General (Global)	User Interface	Ability for Users to change the size of the thumbnail (e.g., such as with the multiple icon sizes in a Windows Explorer folder)	High	[REDACTED]	[REDACTED]
5580	General (Global)	User Interface	Ability to provide a full screen mode for document review (e.g., during filing clerk review and any subsequent access of a document)	High	[REDACTED]	
5590	General (Global)	User Interface	Ability for a Global Administrator to tailor screens which support the specific needs of each filer type (e.g., bulk filers may be distinctly different from single-case filer screens, pro se litigants)	High	[REDACTED]	[REDACTED]
5600	General (Global)	User Interface	Ability to place common information in a consistent location on each screen (e.g., current date and time, screen name or identifier code, error messages)	High	[REDACTED]	
5610	General (Global)	User Interface	Ability to use a single convention(s) for common data types across screens (e.g., date format)	High	[REDACTED]	
5620	General (Global)	User Interface	Ability for the eFileTexas 2.0 to dynamically adapt Solution screens to reflect the functions and features consistent with the User's rights and privileges (e.g., functions not authorized are either not displayed or are inaccessible)	High	[REDACTED]	
5630	General (Global)	User Interface	Ability for a Jurisdiction Administrator to configure jurisdiction-specific menus or toolbars	Low	[REDACTED]	[REDACTED]
5640	General (Global)	User Interface	Ability for a Global Administrator to associate definitions or additional with specific text or areas on a screen which will be displayed when a User hovers over with the mouse	High	[REDACTED]	
5650	General (Global)	User Interface	Ability to open new windows without blocking the functions needed when that window is open (e.g., a document viewer window should not block the clerk review tools)	High	[REDACTED]	
5660	General (Global)	User Interface	Ability to set parameters which limit searches (e.g., the number of hits to be displayed from a search or the length of time a search can take); Solution shall have the ability to alert the User to a large result set with a prompt to continue or end	High	[REDACTED]	

ID	Capability	Sub-Capability	Requirement	Priority	Offeror Response (O, N, G, C, 3, F)	Offeror Comment (Required when response is either G, C, 3, or F, or when specified in the requirement)
5670	General (Global)	User Interface	Ability for individual Users to customize or adapt the display windows to best suit their preferences and screen sizes (e.g., minimize or maximize menus, folder views, document sizes)	High	[REDACTED]	
5680	General (Global)	User Interface	Ability to restore a User's display based on their previous login session	High	[REDACTED]	
5690	General (Global)	User Interface	Ability for a Global Administrator to configure toolbars that provide quick access to common and frequently used functions	High	[REDACTED]	
5700	General (Global)	User Interface	Ability for Users to customize toolbar(s) and include only those items which they want to display	High	[REDACTED]	[REDACTED]
5710	General (Global)	User Interface	Ability to copy and paste information within the Solution or across third party Solutions (e.g., if a case number needs to be manually input to search for a document or case in the CMS)	High	[REDACTED]	
5720	General (Global)	User Interface	Ability for the eFileTexas 2.0 solution to follow a "responsive design" approach, with screens that automatically adapt to render properly on different devices and form factors (e.g., desktop, laptop, tablet, smart phone)	High	[REDACTED]	

## 4. Implementation Services

### 4.1 Project Initiation

#### 4.1.1 SOW Text

OCA expects that the Contractor will work with necessary parties to implement an expedient, seamless and minimally disruptive transition of services from the incumbent eFileTexas vendor to the Contractor’s environment in advance of the current eFileTexas contract expiration. The Contractor will be responsible for transition planning activities for eFileTexas 2.0.

Table 22: Project Initiation Deliverable Expectations

High Level Activities	
<p>This deliverable requires completion of the following steps:</p> <ol style="list-style-type: none"> <li><b>Project Preparation</b> – Conduct planning meetings with OCA and other stakeholders as required to confirm the schedule, plans, documentation, and other logistics for the project.</li> <li><b>Conduct Project Kickoff</b> – Conduct a project kickoff meeting with key stakeholders within thirty (30) days of contract execution. The kickoff meeting will provide an overview of the project objectives, plans, project scope and schedule, introduce the Contractor’s project team and roles and responsibilities, and outline project start-up procedures.</li> <li><b>Perform Ongoing Project Management Responsibilities</b> – To be defined in the Project Management Plan, includes providing weekly project plan and schedule updates, weekly status reporting, weekly status meetings, risk and issue monitoring, and integrated change management activities. In addition to weekly status meetings, the Contractor’s Project Manager shall participate in Project Steering Committee meetings and JCIT quarterly meetings as required.</li> <li><b>Develop Deliverable Expectation Documents (DEDs)</b> - Define the approach and criteria for satisfactory completion and approval of all deliverables defined in the contract.</li> </ol>	
Associated Artifacts	Major Components
<p><b>Project Management Plan</b></p>	<p>Contractor shall create and maintain a Project Management Plan that describes the overall project management approach and schedule throughout the lifecycle of the eFileTexas 2.0 project. The Project Management Plan will define the following (at a minimum):</p> <ol style="list-style-type: none"> <li><b>Project Kickoff Materials</b> – Contractor shall provide project kickoff materials and facilitate a project kickoff meeting to share key project information for stakeholders to have a thorough understanding of the project, a clear sense of key dates and deliverables, and an appreciation for the project’s goals to achieve expected business outcomes.</li> <li><b>Risk and Issue Management Plans &amp; Logs</b> – Contractor shall create and maintain a Risk and Issue Management Plan, Escalation Plan, and Risk and Issue Register (which must comply with the requirements of the <a href="#">Texas Project Delivery Framework</a>).</li> </ol>

<b>High Level Activities</b>	
	<p><b>3) Integrated Change Management Plan</b> – The Plan will outline the process for identifying, evaluating, authorizing and implementing proposed changes in requirements, schedule, and budget, as well as Solution design and acceptance criteria.</p> <ul style="list-style-type: none"><li>a) For change management, a change is defined as any modification within the scope of the RFO that is reasonably related to the SOW content including any content in all SOW appendices, such as the Requirements Traceability Matrix (RTM). If a potential change is identified by a member of the project team, including the Contractor or OCA (or other internal/external stakeholder), then the change management process outlined below shall be used to initiate a formal Change Request. Similarly, whenever significant deviations are anticipated or reported against implementation processes, schedule or cost, a Change Request is required to re-baseline the project.</li><li>b) Change Requests can be initiated at any stakeholder level and may or may not require a formal contract change depending upon its scope. Either OCA or Contractor may initiate a Change Request for a desired process change, additional funding, and/or a longer timeline as conditions may change on the project over time.</li><li>c) During the project, all potential Change Requests must be brought to the Steering Committee (SC) that is composed of key stakeholders from the Texas Judiciary and OCA executive staff and facilitated by the OCA Project Manager. The SC serves as the “Change Control Board” for this project. The Change Request must contain at a minimum, the description of the change, the schedule to implement the change, and a fixed price based on the number of hours required.</li><li>d) The SC is responsible for making decisions on approval/rejection and subsequent prioritization and timing of all Change Requests.</li><li>e) When the SC reviews Change Requests, the SC may approve the Change Request, consider alternatives, direct the project team to do more research, reject the Change Request and continue the project, or reject the Change Request and request a different change. The SC considers whether the Change Request undermines or supports the project benefits or the project alignment with OCA’s major goals, strategy, budget, and/or direction.</li></ul> <p><b>4) Project Deployment Plan (e.g., transition planning to finalize phased rollout details) –</b></p>

**High Level Activities**

	<ul style="list-style-type: none"> <li>a) Contractor shall conduct transition planning workshops with OCA during project initiation and planning activities in order to finalize the approach for deploying the Solution into production, including possible phasing strategies, site specific considerations, and benefits and risks of strategy alternatives. Key deployment planning activities required by the Contractor include (at a minimum): <ul style="list-style-type: none"> <li>i) Conduct a review of the current environment.</li> <li>ii) Contractor shall perform analysis of phasing alternatives with OCA, EFSP's, Courts, and CMS vendors.</li> <li>iii) Identify high risk transition areas and impact, develop mitigation strategies, and identify recommended mitigation actions and report results to OCA related to the phasing decisions.</li> <li>iv) Any ongoing risks, based on finalization of phasing approach, must be tracked in the Risk Log.</li> <li>v) Any decisions that impact the schedule must be documented in the project schedule.</li> <li>vi) Any cutover consideration(s) must be documented in the final Cutover Plan.</li> </ul> </li> <li>b) Using the information gathered through the transition planning workshops, the Contractor will develop the Project Deployment Plan. <ul style="list-style-type: none"> <li>i) Contractor will develop, update, maintain, and revise as necessary a detailed Project Deployment Plan for the selected phasing alternative that includes the approach, activities, milestones, schedule and schedule dependencies, risk identification and mitigation strategies, and pre-cutover readiness assessment activities.</li> </ul> </li> <li>c) Once OCA has approved the Project Deployment Plan, the Contractor shall finalize the project schedule that outlines the key project phases, tasks, activities, dependencies, budgeted hours, assigned resources, and deliverables for deployment of the statewide eFiling system. The schedule shall clearly define estimated resource hours associated with each task. (See Step 5 below).</li> <li>d) Contractor shall also provide a finalized project organization chart.</li> </ul> <p><b>5) Baseline Project Schedule</b> – Contractor shall create and maintain a work plan and schedule, including Gantt chart(s) and a project calendar in Microsoft Project that is developed and maintained in accordance with industry best practices. The</p>
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High Level Activities	
	<p>work plan will reflect any changes from the baseline plan originally agreed to during the project initiation and be updated/published on a weekly basis. The project schedule will include the following components (at a minimum):</p> <ul style="list-style-type: none"> <li>a) A consolidated view of the activities, activity descriptions, and activity durations assigned to stakeholders and Contractor.</li> <li>b) Resources (OCA, Other Stakeholders, Contractor, and third-party vendors) assigned to each activity and their required level of effort.</li> <li>c) A list of all required project deliverables tied to the appropriate project milestones.</li> <li>d) Identification of all key Project Milestones.</li> <li>e) Deliverable approval periods compliant with OCA's DED process as described in the following section Deliverable Expectation Documents.</li> <li>f) A critical path analysis and reporting process.</li> </ul> <p><b>6) Configuration Management Plan</b> – Contractor shall create a Configuration Management Plan that describes the following (at a minimum):</p> <ul style="list-style-type: none"> <li>a) Approach for managing programming changes, third-party software, and configuration settings made in the system, including testing, final approval of deployment, and deployment.</li> <li>b) Documentation of the system configuration, including references to system tables where appropriate.</li> <li>c) History of configuration changes, including references to system-provided change logs if available.</li> <li>d) Detailed specifications for all system changes/customizations.</li> <li>e) Contractor shall create a Configuration Items Log that captures configuration items in a register, including identified baselines under control that complies with the requirements of the Texas Project Delivery Framework.</li> </ul> <p><b>7) Stakeholder Outreach and Communication Plan</b> – Contractor shall describe its approach for outreach to eFileTexas 2.0 stakeholder groups to ensure a successful transition to the Solution and after cutover is complete. The plan applies specifically to stakeholder groups that are outside of OCA but are impacted by eFileTexas 2.0. The plan must include the following elements (at a minimum):</p>

High Level Activities																					
	<p>a) <u>Summary of Plan</u>: Description of the methodology or approach that the Contractor will use to engage with the identified stakeholder groups.</p> <p>b) <u>Communication Channels</u>: Information related to the type of communication channels that the Contractor intends to use.</p> <p>c) <u>Tools or measures to assess progress</u>: Information on how the Contractor intends to measure progress and any tools required.</p> <p>d) <u>Established timeline</u>: Timeline for outreach activities.</p> <p>e) <u>Stakeholder Engagement Table</u>: submit the following table of proposed methods of outreach and involvement for various stakeholders:</p> <p><b>Table 2: Stakeholder Outreach Plan Template</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #cccccc;">Methods of Engagement</th> <th style="background-color: #cccccc;">Stakeholder</th> <th style="background-color: #cccccc;">Purpose</th> <th style="background-color: #cccccc;">Level of Involvement</th> </tr> </thead> <tbody> <tr> <td>&lt;Insert methods of engagement&gt;  For example: Recorded webinar</td> <td>&lt;Identify stakeholder group&gt;  For example: Texas Bar Association</td> <td>&lt;Insert purpose of the engagement&gt;  For example: Awareness of new State EFSP protocols</td> <td>&lt;Estimate duration of involvement &gt;  For example: Recorded webinar available one month prior to go live</td> </tr> <tr> <td>▪</td> <td>▪</td> <td>▪</td> <td>▪</td> </tr> <tr> <td>▪</td> <td>▪</td> <td>▪</td> <td>▪</td> </tr> <tr> <td>▪</td> <td>▪</td> <td>▪</td> <td>▪</td> </tr> </tbody> </table>	Methods of Engagement	Stakeholder	Purpose	Level of Involvement	<Insert methods of engagement>  For example: Recorded webinar	<Identify stakeholder group>  For example: Texas Bar Association	<Insert purpose of the engagement>  For example: Awareness of new State EFSP protocols	<Estimate duration of involvement >  For example: Recorded webinar available one month prior to go live	▪	▪	▪	▪	▪	▪	▪	▪	▪	▪	▪	▪
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<p><b>Deliverable Expectation Documents (DEDs) for all Deliverables</b></p>	<p>The Contractor must develop the project deliverables in a mutually agreed upon format using a Deliverable Expectations Document (DED) that is approved by OCA. No work will be performed on any deliverable associated with a payment milestone until all DEDs have been approved in writing by the OCA Project Manager. As each project Deliverable is submitted, the Contractor must include a copy of the associated DED as the cover sheet.</p> <p>All contract deliverables are given a unique number and tied to the project schedule. The dates for deliverable submissions, review comments, and resubmissions will be tracked. OCA's project</p>																				

<b>High Level Activities</b>	
	<p>SharePoint site will be utilized as the repository of record for deliverables.</p> <p>Deliverables prepared by the Contractor shall be subject to the review and approval of the OCA Project Manager or designee. The Contractor must be prepared to provide walkthroughs of deliverables in order to facilitate the OCA deliverable reviews. OCA will review, approve, or require modification to the Contractor's deliverables. Approval shall be granted if the deliverable conforms to the requirements of the DED. OCA shall notify the Contractor within ten (10) business days of its receipt of a Deliverable, or as otherwise agreed to by OCA and Contractor, of its approval or rejection, with the reason(s) for rejection and what the Contractor must do so that the deliverable will be acceptable. The Contractor shall have five (5) business days, or as otherwise agreed to by OCA, to correct the deliverable and resubmit the deliverable for OCA review.</p> <p>The Contractor must take into account the review process when developing schedules, project plans, and timelines.</p> <p>Specific deliverables and acceptance criteria will be finalized based on Offeror response to the RFO solicitation and any subsequent negotiations.</p> <p>The Contractor shall provide any formal meeting presentation materials no less than five (5) business days ahead of the actual meeting for OCA review.</p>
<b>Deliverable Acceptance Criteria</b>	<ul style="list-style-type: none"> <li>▪ Project Kickoff Meeting has been held.</li> <li>▪ All DEDs, the Risk Management Plan, Issue Management Plan, Integrated Change Management Plan, Project Deployment Plan, Project Schedule, Configuration Management, Plan, and the Stakeholder Outreach and Communication Plan are all complete, correct and comply with the contract requirements.</li> <li>▪ Ongoing Project Management activities are established</li> </ul> <p>Note: OCA must formally approve each document before final acceptance of the deliverable.</p>

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

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

**Offeror's alternate proposed SOW Text (provide if option 2 selected above):**

#### 4.1.2 Additional Offeror Response

*Offeror shall describe the following:*

1. *Project Management Approach - The Offeror should describe their approach to overall project management and integration of all activities required by the scope of work. This section should include:*
  - a. *Project Management Methodology (and compliance with Project Management Institute standards).*
  - b. *Communications Management Approach.*
  - c. *Issue Resolution Methodology.*
  - d. *Risk Management Methodology:*
    - i. *Describe approach to risk management.*
    - ii. *The Offeror shall identify key implementation risks and risk mitigation strategies of the Solution based on prior Offeror experiences.*
    - iii. *Offeror shall provide a sample risk register that will be used throughout project implementation to identify, monitor and control risk.*
  - e. *Quality Management Methodology:*
    - i. *Description of quality management approach and methodology.*
    - ii. *Proposed metrics for reporting on quality throughout the project.*
  - f. *Change Control Methodology:*
    - i. *Recommendations on governance and how the Offeror will help ensure the required structure and processes are in place and supported throughout the implementation.*

#### **Project Management Approach**

Tyler has carefully reviewed the requirements set forth by the eFileTexas 2.0 RFO and has diligently constructed a project plan to achieve the objectives within. Tyler further appreciates the State's goal to continue offering critical eFiling services to the State of Texas without any service disruption throughout the engagement. Tyler shares in the OCA's mission "to provide resources and information for the efficient administration of the Judicial Branch of Texas", specifically to provide Texas courts with "technology solutions for electronic filing".

To ensure efficient implementation of eFileTexas 2.0 Tyler has constructed its implementation approach around the PMBOK standard. Specifically, Tyler will use the following phases to effectively manage the engagement: initiation, analysis and design, execute, testing, training, cutover, and closeout. Utilizing the PMBOK standard ensures that industry standard practices and terminology is utilized and will also ensure the project is progressing as expected.

In the following sections, we will outline Tyler's approach to the eFileTexas 2.0 project, highlighting some of the key and important steps to ensure the project is a success. Tyler believes that our unique approach to this project will afford the State of Texas with predictable and successful results by customizing the project plan to specifically fit the needs of the eFileTexas 2.0 project.

### **Communication Management Approach**

A crucial element to any successful implementation is clear and proactive communication to the various stakeholders of the project. Tyler is uniquely positioned to respond to this opportunity as the solution provider for the eFileTexas program today. With all 254 counties live with the eFileTexas program today, the need for a robust implementation plan to transition from the existing solutions is absent. However, as Tyler implements the additional functionality included in eFileTexas 2.0, it will be imperative to keep stakeholders abreast as new functionality is developed, tested, and implemented within the solution.

Tyler utilizes multiple methods to communicate to the various stakeholder groups associated with eFileTexas. This plan utilizes a combination of in-person presentations, live webinars, recorded webinars, email, and various web-based methods of communication to continuously, and proactively, notify stakeholders of impactful project events. Communication is directed towards the stakeholder groups that are directly affected by the project events taking place. For example, an update to the schema for the integration between the EFM and the CMS vendors will only be sent to the CMS vendors and not to Self-Represented Litigants that utilize eFileTexas.

There are various scenarios where it will be necessary to provide communication to the stakeholders of eFileTexas. Below is a list of common events which may trigger the need for communication. While this list is not exhaustive, it does represent the most common reasons to provide communication to stakeholders.

- System Outage / Severity Incidents
- Functionality Changes
- System Upgrades / Updates
- Go-Live Events
- Release Planning
- Standard Maintenance Activities
- Training Opportunities

Identifying the correct audience for the communication is often just as important as the messaging content of the communication. Additionally, the medium used to provide the communication the intended audience is also important. Below are a few communication channels Tyler will use to effectively communicate to various stakeholders throughout the engagement.

- Email – Email will be used to send focused communications, as well as broad communications to stakeholders. Tyler currently utilizes a software tool (iContact). This tool allows for the email address storage of different types of stakeholders (such as Clerks, Filers and Judges), which affords targeted email communications to specific stakeholders. iContact also provides the ability to schedule email messages, create email templates, and track email click rates, among other features.
- Live Webinars – Webinars will be utilized to provide training and other relevant information to stakeholders. Tyler currently utilizes software tools (GoToMeeting [GTM] and GoToWebinar [GTW]) to provide webinars to stakeholders. GTM and GTW are very similar applications, with the primary distinction that GTW was built to manage a larger audience. Throughout the life of the project, Tyler will use GTM and GTW to provide end user training, informational sessions, and recurring meetings to stakeholders.

- Recorded Webinars – As listed above for “Live Webinars” Tyler will leverage GTM and GTW to provide recorded webinars to stakeholders. Recorded webinars are available 24x7 and can be accessed by stakeholders anywhere in the world where internet access is available, assuming they are authorized to access it.
- Web-based – Tyler utilizes Microsoft SharePoint to publish API documentation to be utilized by our third-party partners. Case Management System vendors and commercial Electronic Filing Service Providers will utilize this tool to acquire documentation for integration purposes.
- In-Person – Tyler utilizes in-person meetings and presentations, when necessary, to communicate new or important information to stakeholders. Throughout the original eFileTexas implementation, Tyler performed well over a hundred in-person bar presentations to attorneys and legal professionals across the state. Additionally, Tyler attended several clerk conferences to further communicate about the eFileTexas rollout. Tyler also uses this communication medium for recurring meetings such as the weekly eFileTexas status meeting with the OCA and quarterly JCIT meetings.

Tyler intends to utilize the various communication methods mentioned above, as we transition to eFileTexas 2.0.

#### *Issue Resolution Methodology*

Tyler recognizes that issue resolution is an important element to any successful software implementation. Effective issue management relies heavily on minimizing the issues occurrence through proper development, a thorough quality assurance regimen and structured regression testing. While the aforementioned protocols help minimize issues, we also recognize that issues will occasionally occur, and they must be addressed in a timely manner to ensure that service is not disrupted. Tyler recommends a four-phase approach to Issue Resolution.

- Identify
- Analyze
- Response
- Resolution

Identify - Through Tyler’s experience in implementing eFiling in the State of Texas and other states across the country, we believe that issue identification is the first step to issue resolution. It is important to identify issues and establish a comprehensive issue log to track and manage all issues that occur in the system. The issue log will serve as a single “source of truth” that the OCA can easily reference to view issues and their respective statuses as they are being addressed. The issue log will be published and updated on a weekly basis and will provide stakeholders the opportunity to view what issues are currently outstanding. It also serves to provide visibility into the immediate next steps for the corresponding issues. Providing this increased level of visibility to stakeholders offers an additional layer of transparency and illustrates that OCA and Tyler are not only aware of the issues, but that they are taking active measures to correct them as soon as possible. A sample issues log is included below.

Analyze - With a comprehensive issue log as our guide, Tyler will address the issues included in the log by the priority of the issue. The priority is derived by a combination of the issues’ impact severity and the

number of users that are affected by the issue. Tyler recommends the project team analyze the issues log and determine the priority of each item listed, with guidance from leadership. Issue priorities should further be determined by criteria such as number of users affected, if a workaround is available, portion of the system affected by the issue (such as financials), and any other criteria the OCA deems significant. After the project team has prioritized the issues list, Tyler will review each issue in detail and determine the timeframe for resolution. Some issues may only have one viable solution, while others may have two or three solutions that will ultimately resolve the issue. In the case where there are multiple options to resolve the issue, Tyler will provide pros and cons to each viable solution, as well as a recommendation based on our knowledge and experience. Additionally, Tyler will provide work estimates and anticipated time frames to resolve the issue based on our analysis.

Response - Once the priorities have been determined by the project team, Tyler will address the issues by the determined priority and provide updates as to the status of each issue. Depending on the priority and severity of the issue, updates may need to be provided more frequently (such as daily), and lower priority or “cosmetic” issues may be updated less frequently (such as monthly).

As each issue is updated, Tyler will log the relevant details of the issue in the issues log, to keep each stakeholder informed. Updates will include the next steps, owner of next step owners and a due date to complete the next step.

Resolution - Once an issue is resolved, Tyler will update the issue log with the date resolved and resolution method. Tracking the resolution method is important as this will provide historical information, in the event the issue resurfaces. If the issue resurfaces in the future, this information will provide the ability to reference the previous situation and expedite the issue resolution. In the situation that an issue requires a software patch of the solution, Tyler will collaborate with the OCA to schedule the software patch on an agreed upon date. Issues that have been resolved will remain on the issues log with a status of closed. This will provide the ability for stakeholders to view all historically reported issues and details of their resolution.

### ***Risk Management Methodology***

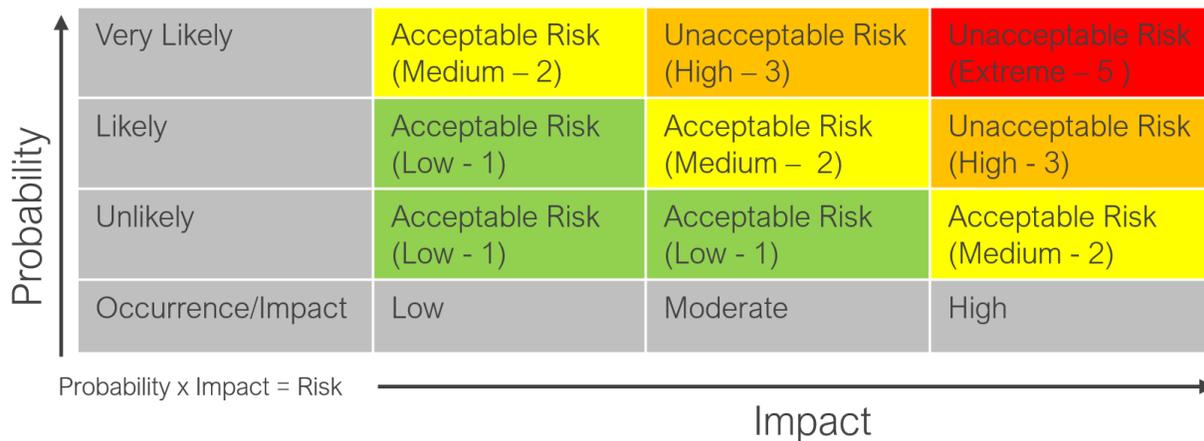
Tyler recognizes the importance of risk management and its necessity as a part of software implementations. Through Tyler’s experience in implementing eFiling across the country, we have developed a four-phase strategy that allows for the effective tracking of project risks. This approach reduces the likelihood of a risk turning into a project issue. Tyler’s approach includes the four phases listed below:

- Identification & Mitigation
- Assessment
- Action Plan
- Monitor

Identification & Mitigation - The initial step in controlling project risk is identifying and mitigating the risks to the project. Tyler will collaboratively work with the OCA to develop a risk register that will be utilized to track any risk related to the project. Members of the project team will have access to the risk register and as new risks are identified, they will be added to the risk register for tracking and reporting. When a new risk is added to the risk register, the creator of the risk will indicate the category of the risk (such as integration, case management system or electronic filing manager), which will allow accurate tracking and grouping of the risks. Additionally, the reporter of the risk will identify the potential impact to the project

if the risk is not resolved, as well as what mitigation efforts have occurred to date to minimize the risk. Once the risk has been identified by a project team member, the OCA and Tyler will collectively assess the risk for proper categorization.

Assessment - OCA and Tyler will work together to assess each risk added to the register and develop an action plan for each. The assessment will evaluate the probability of the risk occurring as well as the impact to the project if the risk should occur. The impact risk will take into consideration factors such as the number of users affected, the impact to affected users, and the scope of the risk. The risk probability will determine how likely the documented risk is to actually occur. Each item will be scored from 1 to 5, with 1 representing a low rating and 5 representing a high rating. The probably and impact ratings will be multiplied together to derive the risk score, which will be used as a priority list for the risk register. The risk score represents the totality of the possible impact of the risk and will guide decisions on the risk register for the life of the project.



Lastly each risk will be provided a risk response as a part of as a part of the risk assessment. The risk response will define how each will be addressed to ensure that any concerns are accurately identified. Details of the risk response are in the below table.

Response	Description
Avoidance	Eliminate the threat by eliminating the cause.
Mitigation	Reduce the probability or the consequences of an adverse risk and increase the probability or consequences of an opportunity.
Acceptance	The project will accept the consequences of the risk, by developing a plan to resolve the risk if it should occur. A decision to accept risk must be communicated to stakeholders.

Action Plan - Once a risk has been identified and the assessment activity has concluded, an action plan will be developed. Each action plan will have an associated action owner and action date correlated with it. The action plan for each risk will define the exact steps that will be taken to Avoid, Mitigate, or Accept the risk. The action plan will be documented in the risk register. If the action to be taken is too exhaustive

for the register, the action plan will be documented in a different location and a link will be included in the risk register for tracking.

**Monitor** - The final phase of addressing risk is accurate and complete monitoring of each risk added to the risk register. Monitoring ensures that risks have been responded to and are accurately captured in case the risk changes or are likely to occur again in the future. Accurate monitoring allows the project team to identify potential reoccurrence early and quickly, effectively mitigate or apply an action plan to the identified risk. While it's expected that all risks will have some level of monitoring it's especially important to actively monitor risks that can have a high impact or are very likely to occur again in the future. Additionally thorough monitoring will assist in evaluating the effectiveness of the mitigation and action plans that are deployed to address project risks.

Based on Tyler's previous experience of implementing eFileTexas, Tyler has identified the below risks and mitigation strategies that were utilized to ensure a successful transition for the state. While this list is not comprehensive, it does represent common and impactful risks that were mitigated while implementing eFileTexas over the past seven years.

Category	Risk	Mitigation Method
Attorney	Attorneys uninformed of Supreme Court mandate of electronic filing	Proactive and continued communication through multi-faceted marketing campaign directed toward legal professional community
Attorney	Attorneys unhappy with costs associated with eFiling	Proactive informative sessions (online and in person) and educational literature to transfer knowledge the filing community
Attorney	Some attorneys have limited technical experience and capabilities	EFSPs offer help desk support and various support tools to guide attorneys through utilization of their respective portals
Attorney	Attorneys unsure of local court business practices	Host Bar Presentations with local bar and court to address local business concerns. Created State of Texas Wiki illustrating differences between counties
Attorney	eService email addresses are unreliable	Load email addresses from state bar into EFM to ensure correct, preferred email addresses are used for service
Attorney	Inconsistent code set between counties which leads to high rejection rates	Implement code standards across the state to create uniformity and minimize available codes for filers
Attorney	Require ability to file while at courthouse	Setup kiosks in clerk's office and law libraries with the ability to eFile directly from that location

Attorney	Low attendance and participation at attorney bar presentations for eFileTexas	Procure continuing legal education (CLE) credits to encourage attorney participation and attendance.
Clerk	Counties not possessing adequate funds to integrate with EFM	Create temporary cost recovery fee for a nominal amount (\$2 per transaction) to allow clerks to acquire the appropriate funds to establish the integration with eFileTexas and acquire efficiencies
Clerk	Clerk community pushback on implementation for various reasons (inadequate time, limited resources, fear, etc.)	Participate in numerous speaking engagements to educate and comfort the clerk community on the process, ensure adequate staffing levels and utilize a repeatable process which produces reliable, consistent and predictable results. Leverage the successes of countless engagements before
Clerk	Rural offices not possessing adequate infrastructure to support eFiling	Early communication to counties and IT staff to provide ample time to make required upgrades
Clerk	Delay's in acquiring Chase Merchant IDs (MID)	Initiated MID process prior to project initiation to minimize delays and worked with vendor to accelerate MID acquisition process
Clerk	Difficulty understanding support process	Conduct numerous training classes to clerks to provide information on support process
Clerk	Difficulty understanding functionality of solution	Provided over 500 training webinars, and hundreds of live training classes to equip clerks with knowledge of system functionality and configuration
Self-Represented Litigants	Uncertain how to file documents	Provide free and educational training on use of the solution
Self-Represented Litigants	Uncertain what documents to file	Odyssey Guide & File has over 40 interviews of the most commonly used forms by SRLs

While reflecting on the past and some of the challenges that were faced during the initial implementation of eFileTexas, it is also crucial to look forward to eFileTexas 2.0 and the risks that may surface as part of this engagement. Below are a few of the risks identified by Tyler that the state should be keenly aware of as part of the eFileTexas 2.0 implementation project.

Category	Risk	Possible Mitigation Strategy
Filers	Change in processing fees due to new payment processor	Early communication to attorney community, detailing the change in cost with processing payments within eFileTexas
Texas.gov	Integration – Timeline, functional constraints	Establish communication early, and start migration as soon as possible
Texas.gov	Ability to support courts and filers financial issues	Early analysis of capabilities to scope touchpoints and required development efforts
Texas.gov	Migration of Merchant (Court) accounts from Chase	Initiate migration efforts with all offices in the 254 counties as soon as possible
Texas.gov	Migration of Filer payment accounts from Chase to Texas.gov	Early and proactive communication to all registered users (Attorneys and SRLs) of the migration to new payment processor
ECF 5	Transition timing to comply with additional eFileTexas 2.0 enhancements	Front load ECF 5 migration allowing new functionality to utilize ECF 5 framework
ECF 5	Vendors (EFSP/CMS) unwilling to transition to ECF 5	Establish a deadline for all vendors to transition while providing early communication and sufficient time for vendors of the change
ECF 5	New framework, may encounter bug/gaps	Allow temporary fallback to ECF 4.01 during transition period prior to ECF 5 deadline
Clerks	Transition to new EFM, clerks will need to train and create new business process documentation	Early training and communication to clerks, to allow opportunity for business process updates and training
Clerks	Financial impact of building integration to new EFM	Provide ability to charge Cost Recovery to cover cost of new integration

Tyler has included a sample risk register that will be used throughout the project implementation to identify, monitor, manage and control risk, in the Appendix of this proposal.

### **Quality Management Methodology**

The quality of our solution and customer service that Tyler provides are of the utmost importance to our organization. As the incumbent vendor who delivered eFileTexas, Tyler's focus on quality has transitioned from bringing the Courts live in a new system to delivering exceptional service to the eFileTexas stakeholder community. Tyler's focus in maintaining an exceptional experience and market leading quality is focused on the below categories.

- Filer Support
- Court Support
- Solution Delivery

Filer Support - Tyler's Filer Support team is dedicated exclusively to supporting the filing community and ensuring they have an exceptional experience when utilizing the state provided EFSP. Given the Filer Support team's focus on the filing community, they exclusively assist Attorneys, Self-Represented Litigants, Legal-Aid Organizations, and Justice Partners across the state and handle just under 5,000 contacts each month. Tyler's Filer Support team assist users with request such as creating email accounts, system registration, and submitting documents to the clerks.

This exclusive focus allows the Filer Support team to serve as knowledge leaders in the industry and provide excellent customer service to members of the filing community in need of assistance. In addition to providing a team dedicated exclusively to filers, Tyler leadership actively monitors the performance of the team to ensure that they are meeting the quality standards established by our organization. Quality measurements such as call wait times, user surveys and queue monitoring ensure that Tyler's Filer support organization is providing levels of service that exceed industry standards.

Court Support - Tyler's Court Support team is dedicated exclusively to assisting members of the clerk/court community. The Court Support team is extremely well versed in the needs and requirements of the clerk community and assist with request such as fee/filing code updates, queue modifications, and errored filings. These requests for support typically originate from seasoned users of the system and are usually more complex than the requests received from the eFileTexas filing community members. For this reason, these inquiries often require a longer duration to resolution. The court support team averages ~600 incidents a month from the Texas clerk community.

As is the case with Filer Support, Tyler leadership also actively monitors the quality of our Court Support team to ensure that clerks are receiving the highest levels of customer service when contacting Tyler. Tyler's Court Support team actively monitors metrics such as customer satisfaction surveys, support ticket durations, and SLA achievements to ensure that clerks across the state are receiving timely and helpful information from our court support organization.

Solution Delivery - The quality of Tyler's products is maintained by thorough testing throughout the development process, controlled release mechanisms, and performance monitoring as products move to production. Tyler Technologies utilizes various quality assurance tests including testing automation, unit testing, integration testing, API testing, and regression testing. Each of these tests is maintained in a library so that they can be easily accessed when needed, and the result of each test instance is recorded. Before jumping into the various testing that Tyler performs as part of our quality management methodology, we would like to provide a quick summary of our development process as many of the testing aspects are rooted in this foundation.

Each application change is tracked in a code repository which goes through peer testing and code review at the engineering level. Once introduced into our internal testing sites, one of our Quality Assurance (QA) Analysts manually tests the change to ensure it meets the intended requirements, produces expected results when provided the intended inputs, and handles unexpected inputs gracefully. Any bugs or defects that are found during the testing phase are entered into a tracking tool and submitted back to the engineering teams for resolution. The QA team must sign off on each release before it is made available to clients and are empowered to recommend a release not be made available if they feel it is not of sufficient quality. With this understanding of Tyler's development process, below are the various forms of testing used to ensure quality continues to be delivered to our partners.

Integration Testing - Integration testing is performed for all new enhancements and features, including UI and API components. End-to-End testing includes EFSP, EFM, and CMS Integrations. Each code change will go through multiple tests resulting in hundreds of integration tests for a single release.

Test Automation - Tyler utilizes industry-standard tools to execute multiple types of automated tests. Many of these tests are run as part of the automated build process for our internal testing, while additional tests are executed before releasing products to our customers. Due to technical limitations, most automated testing has historically been limited to APIs and web-services. However, our new EFSP filer application and our new Reviewer application are built to facilitate automated UI testing. This increased use of automated testing will dramatically improve the repeatability and timeliness of testing thereby contributing to shorter remediation cycles while delivering higher quality solutions.

Regression Testing - Regression testing ensures that all existing features continue to operate as intended despite change occurring in other areas. Full regression testing is performed for all major releases. Patches receive a smaller, base amount of regression testing with additional targeted regression in areas affected by the patch.

Performance/Load Testing - Performance/Load testing is typically executed when automated test cases take longer than their previous run. When this occurs, we submit thousands of inputs into our applications simultaneously to represent a high-volume production system. Key metrics are measured and analyzed to improve upon any performance degradation.

The quality of Tyler's products and offerings stretch far beyond just various testing methods employed on our solutions. It also incorporates operational components with regards to the proactive monitoring of our solutions once live, and the development strategy to minimize risk to improve user quality.

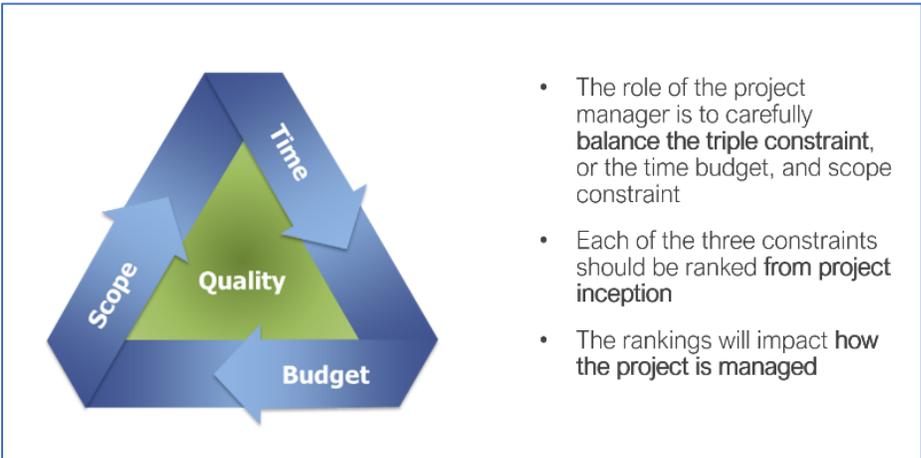
Production Monitoring - Once a product is live in production, Tyler's development operation engineers monitor and maintain the quality of each system within the environment. A combination of industry-standard monitoring tools and custom application performance metrics are utilized to ensure the performance of our products maintains a consistent quality.

Micro-Applications and Micro-Services - As described in Section 2.3 Vision and Future Strategy within our proposal, Tyler's recent migration to micro-applications, as well as our continued migration to EFM micro-services, will further aid our ability to deliver software enhancements while limiting the impact to the courts, filers, and vendors. Smaller, more incremental modifications targeted to specific components translates to less risk and higher quality releases.

**Change Control Methodology**

In every eFiling implementation, governance is extremely important for ensuring that the project is on schedule, that quality is maintained, and the key drivers and guiding principles are adhered to. Project Management governance principles hold that there are three connected constraints when moving forward on a project. Referred to as the “Triple Constraints”, these are Cost, Scope, (quality, features), and Time (schedule). Each of these combines to determine the project’s Scope. The project and executive teams will remain cognizant of these constraints when making impactful decisions, as a change in one side of the triangle will have an impact on another. A simple illustration of this triangle is included here, showing the connection of each item and their relational impact to the overall Scope.

**Figure 4.1.2-1 – Triple Constraint Triangle**



Through Tyler’s previous experience with implementing eFileTexas we have seen that the current governance structure maintained with the Judicial Committee of Information Technology (JCIT) has proven to be extremely effective at managing change. The JCIT has proved especially valuable as it contains representatives from multiple stakeholder groups such as attorneys, IT, clerks, judges, and legal aid organizations. This mix or representation provides a holistic view of the eFiling constituents and is well versed to make decisions regarding the scope of the solution. Based on the experience of implementing eFileTexas and other eFiling solutions across the country Tyler recommends the following governance structure while continuing to utilize JCIT as key participant in the change control process.

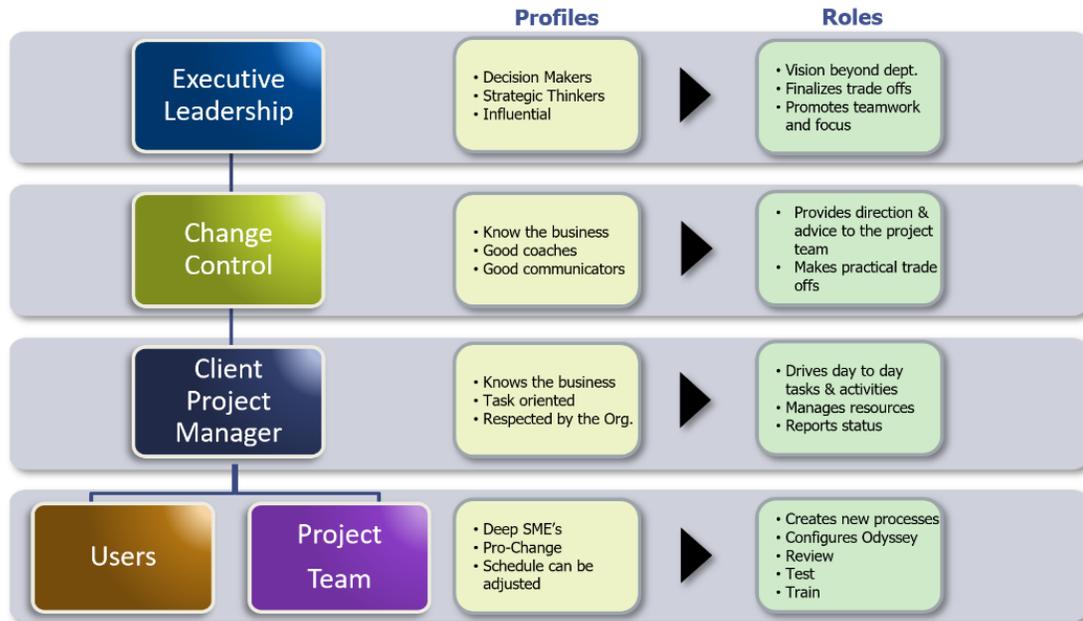
In line with Tyler’s experience with similar projects, the table below indicates the general roles expected for the client team, along with a suggested composition of resources for that group or individual.

Group	Composition
<b>Executive Team</b>	This group is comprised of representatives from the key stakeholder from the OCA involved with this project. These are the decision makers, strategic thinkers, and have influence across the organization. This group should have a vision beyond their department, can finalize project tradeoffs, while promoting teamwork and focus.

<b>Change Control Board</b>	This group may consist of members of the Executive Team but could include a different set of stakeholders or leadership. This group should know the business, be effective coaches and communicators. They can provide direction and advice to the project team and makes practical tradeoffs. This group has the backing of the Executive Team and is focused on driving towards the overall goals of the project.
<b>Client Project Manager</b>	This individual will serve as the primary and central point of contact for Client that will work closely with the Tyler Project Manager. This individual will also represent the interests of all the Client stakeholders. Further information on the responsibilities of this individual is provided below.
<b>Client Project and Subject Matter Expert Team</b>	This group consists of Client operational, technical, and other resources with deep knowledge of the local processes, data, and functionality of the solution. These are key members of the Project Team and are generally assigned to the project permanently, or at least in such a way as to be called upon as needed. Note, some SMEs will have unique expertise in a single area, where others may have a broader understanding of the operations and can speak as a subject matter expert in many areas.
<b>Client IT Team</b>	This group consists of Client IT and other key technical personnel from potential interface partners, as determined by the OCA and Courts.
<b>External Stakeholders</b>	This group includes all external parties to the project including the EFSPs and CMS vendors.

A successful governance profile illustration has been provided here to show the structure and hierarchical nature of the relationship between each key group:

Figure 4.1.2-2 – Change Control Board



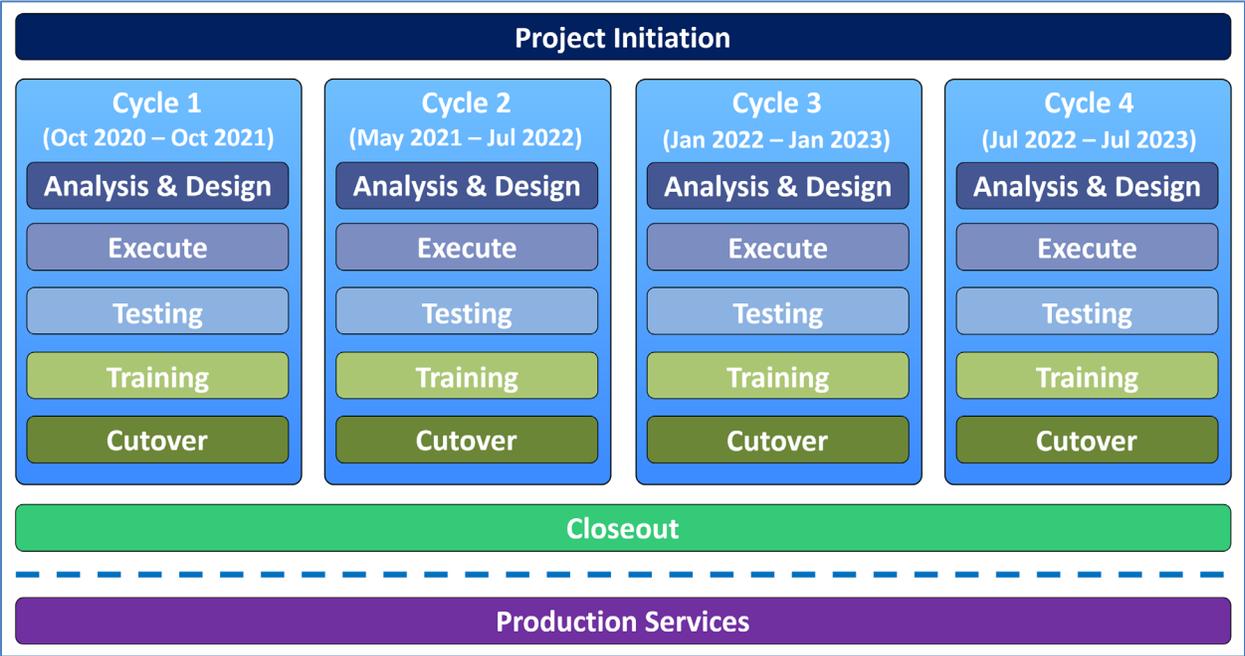
As a function of the governance process, Tyler and OCA will establish a Change Control Board. This entity will be responsible for reviewing and approving all project scope changes, authorization orders, change orders, and approval or authorization documents related to changes in scope. Tyler will act in an advisory and consultative capacity to the Change Control Board through the Program Director and Program Manager roles, while the OCA will determine the members of the board who will have the capacity and authority to authorize the proposed changes. Tyler recommends this board consist of membership from the various stakeholder groups associated with eFileTexas 2.0 (Attorneys, Clerks, IT, Judicial, and Legal Aid). Unless otherwise specified, the JCIT will function as the Change Control Board for eFileTexas 2.0.

Should the need for a significant change to project scope, schedule, and/or cost be identified during the project, the change will be brought to the attention of the project team and an assessment of the change will occur. Promptly after any request or recommendation for a change is presented, the change request will be reviewed by the Change Control Board. If approved by the Change Control Board, the parties will work collaboratively to develop a Change Order and every effort will be made to adhere to the implementation schedule. Following development activities, Tyler will submit a proposed Change Order to the Client for review identifying, at a minimum: (a) the nature of the change; (b) a good faith estimate of the additional cost or associated savings to the Client, if any, of implementing the change; (c) the timetable for implementing the change; and (d) the effect, if any, of the change on the anticipated implementation schedule. The Client will use its good faith efforts to either approve or disapprove any Change Order during the next Change Control Board meeting (or other period as reasonably requested by the Client. Any Change Confirmation will constitute a formal amendment to the Statement of Work, will be deemed incorporated herein, and will be deemed to supersede any conflicting term in the Statement of Work.

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

The eFileTexas project schedule will consist of a project initiation activity, followed by four development/deployment cycles. At the conclusion of these iterative cycles to implement enhanced functionality to the eFileTexas program, a closeout activity will be performed before transitioning the project to the production services phase. Tyler has included a proposed, high-level implementation schedule for the eFileTexas 2.0 project in Figure 4.1.2-3 to help illustrate this approach.

Figure 4.1.2-3 – High-Level Project Schedule



The schedule’s dates and durations were generated based on Tyler’s previous experience implementing eFileTexas, in addition to other statewide eFiling engagements that Tyler has led over the past 10 years. Tyler’s experience in implementing eFiling is unmatched in the market and the lessons learned through our experiences were utilized to create the proposed schedule for eFileTexas 2.0. As was the case for the initial eFileTexas implementation, Tyler is confident in our ability to meet and exceed the included schedule for eFileTexas 2.0.

Incorporated into the schedule is a WBS as well as several milestones which align with the OCAs requested deliverables listed in the RFO. Tyler proposes to use the milestones as checkpoints, which will allow OCA to quickly and easily verify the project is progressing on schedule. Tyler proposes to manage the implementation according to PMBOK standards utilizing an initiation, analysis and design, execution, test, training, and cutover phase. At the end of each phase is a deliverable that will serve to complete each phase, once all requirements within the respective phase have been successfully completed.

Tyler’s Proposed Implementation Schedule, which was created in Microsoft Project, is provided on the following pages.







### 3. Deployment Strategy:

- a. Offeror must provide their proposed Deployment Strategy for the future system, including a narrative that describes the implementation lifecycle that will apply to the implementation that includes, at a minimum, the project initiation phase, analysis and design phase, execution phase, test phase, training phase, and cutover phase.
- b. OCA's preference is for the implementation to occur iteratively.
- c. Offeror should describe whether development approach will be Iterative Waterfall, Agile, or other hybrid and fully describe all stages of development and major activities that shall occur.
- d. Describe in detail how the Offeror will organize its team and leverage its methodology to deliver the Solution while achieving deployment synergies resulting in a cost-effective, high quality, and accelerated deployment.
- e. Describe how the Offeror proposes to execute a phased approach with OCA and the respective courts', ESFPs', and CMS Vendors' project teams to seamlessly transition to the required support structures and processes with minimal business disruption.
- f. Include any and all assumptions the Offeror is making with respect to OCA's or other external stakeholders' role/staffing as well as the role and contribution of any key third parties or the Offeror is including in its proposal.
- g. Describe how the Offeror proposes to continue to implement subsequent phases while simultaneously providing the necessary site support for phases that are already in/have just gone into production.

As the incumbent provider, Tyler's focus will not be on the initial implementation of the program, but rather on enhancing the existing solution to ensure compliance with the requirements of eFileTexas 2.0. Tyler will implement eFileTexas 2.0 via the PMBOK standard implementation approach including the following phases: Project Initiation, Analysis and Design, Execution, Testing, Training, and Cutover. While each of the phases are described in greater detail in their respective, following sections of this response, we will include a summary of each phase below.

#### **Project Initiation**

Tyler will collaborate with OCA leadership to develop the project plan that will be utilized to establish the foundational groundwork for the transition to eFileTexas 2.0. During the project initiation phase, important aspects of the project such as the change management, issue management, and risk management plan will be reviewed, solidified, and published to project stakeholders. Additionally, the implementation phases and project schedule will be finalized and published to ensure alignment with all stakeholders.

Tyler proposes an iterative approach to the project implementation utilizing four distinct development and deployment cycles, each with decreasing levels of complexity and risk. Given that the eFileTexas 2.0 requirements are aligned with Tyler's future vision and the significant amount of work included in the requirements, Tyler will begin working towards the eFileTexas 2.0 vision in 2020. A high-level timeline for each cycle is included below.

- **Cycle 1** – October 2020 - October 2021
- **Cycle 2** – May 2021 – July 2022
- **Cycle 3**– January 2022 – January 2023
- **Cycle 4** – July 2022 – July 2023

Cycle 1 is designed to achieve several cornerstone objectives which will serve as the foundation for the remaining eFileTexas 2.0 requirements to be built. Similar to the initial eFileTexas implementation, which focused on the most populous counties while simultaneously required establishing many of the components of the eFileTexas program, this first phase of the eFileTexas 2.0 project will warrant the most attention. Tackling the following objectives early will help to de-risk the overall project while setting the stage for the subsequent cycles.

1. Transition to ECF 5
2. Integration with Texas.gov payment processor
3. Adopt Tyler’s new reviewer application

The primary catalyst behind the strategy will be to transition to ECF 5, which Tyler is ideally positioned to lead. Tyler is the market leader for ECF support, and we intend to continue that track record by supporting ECF 5, in advance of eFileTexas 2.0. Completing this transition in Cycle 1 will position Tyler and our partner vendors to embrace the new functionality scheduled to be delivered in subsequent cycles. There are multiple advantages to this approach, with the primary advantage being that during the transition period, all vendors will have a built-in “safety net” as they can revert back to the existing ECF 4.01 based APIs if necessary. Our planned approach will allow the State to transition to ECF 5 while minimizing the potential risk of disrupting the current eFileTexas service. Front-loading the ECF 5 transition will also remove the necessity for third-party partners to build functionality twice, once in ECF 4.01 then again in ECF 5.

The second critical objective of cycle 1 is to establish the integration with the Texas.gov payment processing engine. Completing this integration early in the engagement helps to de-risk the overall project by allowing us to identify and resolve any related problems that are identified while building the integration. This, in turn, will provide Tyler ample time to perform the required tasks to complete the transition including the creation of new merchant accounts for the clerks and conducting reconciliation training.

The third and final cornerstone objective of cycle 1 entails replacing Tyler’s current Silverlight based reviewer application with the new reviewer micro-application. Tyler is currently building this solution in collaboration with our clerk review steering committee and the feedback thus far has been overwhelmingly positive.

Cycle 2 consists of three areas of requirements that impact key portions of the eFileTexas solution:

1. Composable security model
2. Waivers
3. Return for Correction

Adopting a composable security model will provide more flexibility in controlling what tasks a user is permitted to perform. Today’s security access model is built around several pre-defined roles, with each role determining what actions a user can take. In a composable model, the system will define only the rights – the actions possible within the system – allowing authorized stakeholders to compose roles that determine what privileges are included within each role. The primary need for this model lies within the

reviewer application and the forthcoming system administration facility. With the composable model in place, delegation of privileges will be possible throughout the State. Tyler will be able to provide experienced-based guidance and recommendations on how to effectively implement this composable model, based on the numerous statewide CMS implementations Tyler has successfully completed. These engagements, similar to the State of Texas, possess some user rights that are applicable across the state while also possessing individual privileges that are only applicable at the local level. The remaining requirements in this cycle pertain to the RFO's requirements around waivers and return for correction – which are important functions of the eFileTexas program today.

Cycle 3 will provide for the RFO requirements around account administration, firm administration and membership, bulk filing, and the preparation of citations.

Cycle 4 will focus on providing the ability to administer the solution, additional reporting capabilities, and a collection of remaining enhancements pertaining to the RFO.

Tyler will work with the OCA to strategically validate the content and priorities within each cycle. Each cycle will consist of a backlog of projects, which will then be broken down into a backlog of prioritized work items spanning analysis and design, development, and testing within an iterative, agile methodology. A cycle will consist of a number of sprints, which may vary by team. Each cycle will end with training and cutover activities.

### **Analysis and Design**

Tyler will consult with the OCA and its designees to ensure a clear understanding of the functional requirements for the eFileTexas 2.0 enhancements contained within the current cycle. Where appropriate, Tyler will create design artifacts such as user stories, UI mockups, process flows, and swim-lane diagrams to elicit feedback from the OCA and other relevant user groups. Once we have general alignment on the requirements Tyler will begin development of the enhancement. Additional information regarding the analysis and design phase can be found in Section 4.2 of this proposal.

### **Execution**

Execution consists of an iterative development cycle whereby Tyler will begin developing the enhancements. This, in turn, may result in additional analysis and design activities as well as testing activities. The degree of iteration will vary according to the merits of each project but may involve altering design artifacts as we collectively learn more about the business needs. Additional information regarding the execution phase can be found in Section 4.3 of this proposal.

### **Testing**

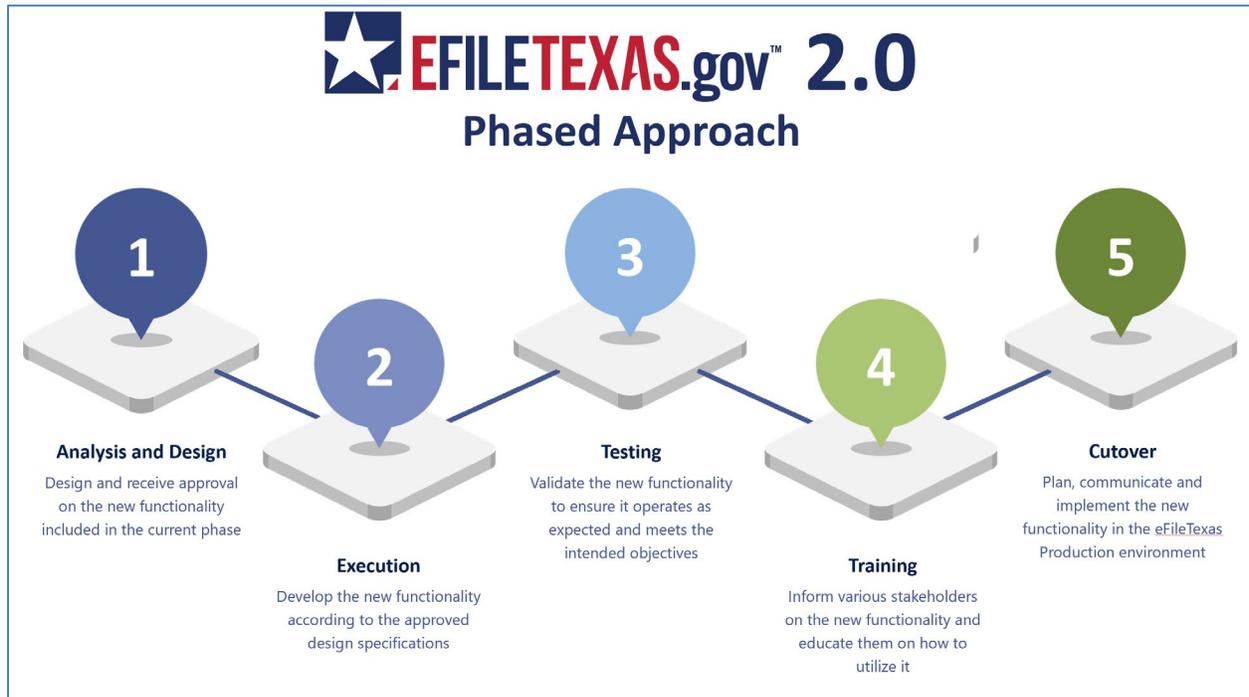
The Testing phase will serve as a crucial element to the project, as it will provide the opportunity to validate the new development is functioning as expected. Testing will be conducted at multiple levels throughout the project implementation. A few examples of testing that will be conducted are unit, regression, integration, and user acceptance. These varying types of tests are performed at different times throughout the project and will serve as checkpoints to ensure the new functionality meets the high-quality standards, established by Tyler. If at any point an element fails testing, it is sent back to development for triage and, if applicable, placed on the backlog for resolution based upon priority. Ultimately the testing culminates with user acceptance testing where full end-to-end testing will be performed on all new development to ensure proper operability for the end user community. Additional information regarding the testing phase can be found in Section 4.4 of this proposal.

## Training

After a thorough testing has been conducted of the solution the project will then transition to the Training phase. Training will be conducted via multiple methods by using a combination of in person, live webinar, recorded webinar, training videos and training documentation. This combination of approaches proved to be successful during the initial eFileTexas rollout and will be repeated for eFileTexas 2.0. Additional information regarding the training phase can be found in Section 4.5 of this proposal.

## Cutover

The cutover to eFileTexas 2.0 for each cycle entails a concerted deployment of the software to the Stage and Production environment. Tyler expects to leverage existing practices of publishing release documentation 90 days prior to the Production upgrade. The 90-day duration provides adequate time for CMS vendors and EFSPs to review and enhance their solutions to take advantage of the enhanced software that is included in the upcoming release. Additional information regarding the cutover phase can be found in Section 4.6 of this proposal.



As mentioned above, Tyler’s proposed first cycle is crucial to facilitating the transition to eFileTexas 2.0. It positions the vendor community well to accommodate the remaining eFileTexas 2.0 requirements. To ensure this transition takes place as smoothly as possible, Tyler will draw upon its proven approach for working with vendors. This is the same approach that was utilized for the original eFileTexas implementation. This high-level approach is defined below:

- Publish Complete ECF 5 specifications to Microsoft SharePoint for vendor consumption
- Conduct EFSP and CMS migration workshops
- Incorporate ECF 5 migration checkpoints into our existing vendor Compass Checks

In addition, Tyler will provide training to the user community for any new non-integration functionality included in all cycles.

Tyler's product development organization consists of multiple teams, all of which employ an agile scrum software development methodology composed of story workshops, sprint planning, sprint reviews, and retrospectives. Tyler's efforts over recent years to segment the solution into discrete applications and components will enable us to provide increased flexibility in the design, development, testing, and deployment of eFileTexas 2.0 requirements. This will also allow us to minimize disruption to the broader community by targeting enhancements to the appropriate subset of the community.

Tyler makes a number of assumptions, particularly around eFileTexas 2.0's dependency upon providers of 3rd party systems.

- OCA will require all vendors (EFSP and CMS) to transition to ECF 5
- OCA will designate a date early in the engagement for all vendors to transition to ECF 5
- OCA will assign resources to ensure alignment with Tyler during the Design and Analysis phase
- OCA will review and provide feedback or approve design documents within 10 business days
- OCA will assist in creating user steering committees to provide design feedback to Tyler
- OCA will provide a single point of contact that will partner with Tyler for the success of the Texas.gov integration requirement
- Texas.gov will meet with Tyler and the designated OCA on a biweekly basis to plan, manage, and implement the transition to the Texas.gov payment engine
- Texas.gov will provide Tyler with a single point of contact that will be responsible for partnering with Tyler for the success of eFileTexas 2.0
- Texas.gov will handle all aspects of PCI compliance
- Texas.gov provides the ability for a card/account holder to register the account within the system, yielding a unique token for use in subsequent AUTH/CAPTURE transactions until such time that the underlying card/account is no longer valid (e.g. due to closure or expiration)
- Texas.gov will provide integration specifications as well as a non-Production environment for development/testing purposes, immediately upon Tyler being selected as the vendor for eFileTexas 2.0
- Texas.gov will provide an orientation to Tyler, with topics including all relevant business and technical details, including but not limited to integration functionality, back-office functionality, account onboarding, integration testing and certification requirements and processes, production access requirements, and mechanisms for notification, support, and consulting pertaining to the current system and future updates
- Texas.gov will train clerks' financial staff for back-office aspects of the system for handling payment processing inquiries, reporting, reconciliations, and refunds
- Texas.gov will provide expedited support and consulting for eFileTexas 2.0, including SLAs which are acceptable to both OCA and Tyler

As the incumbent provider of eFileTexas, Tyler is currently providing maintenance and support to 254 counties and 111 Justice of the Peace Courts across the state. As Tyler migrates to eFileTexas 2.0, we will maintain and enhance our current support structure to ensure that existing business is not interrupted, and future business is implemented smoothly.

#### 4. Configuration Management:

- a. Offeror shall describe the configuration management process and any actions that will be required of the OCA, EFSPs, Texas.gov, and individual jurisdictions. Identify any specific skills that would be needed by those staff performing configuration changes.
- b. Offeror shall describe the tools, environment, and infrastructure required for the execution of configuration management activities to be completed by OCA, EFSPs or individual jurisdictions.
- c. Offeror shall describe the methods for identifying project configuration items and for placing and managing them in the configuration register.
- d. Offeror shall describe the methods for conducting configuration audits and reviews to be held during the project.
- e. Offeror shall describe the methods for configuration release management controls between environments.

Throughout the original eFileTexas implementation, Tyler utilized a regimented and repeatable configuration management approach to ensure that all courts were successfully transitioned to the new system 9.5 months in advance of the timeframes established by the Supreme Court. This process involved Tyler project teams (Project Manager and Implementation Consultant) meeting with local jurisdictions on a recurring basis to walk through configuration updates, and codes available via the JCIT technology standards. The Tyler project team would work with each clerk for a period of about 3 months to configure the system, using an iterative approach, based on the needs of the local jurisdiction. Once the configuration was completed and thoroughly tested by the clerk, the codes were then enabled in the Production environment, and the local jurisdiction went live with the eFiling solution. Shortly after go-live, the clerk would transition from an active project with a Tyler project team to Tyler's support department, where the Court Support team assumed ownership of future configuration updates.

Now that all district and county courts in the state are live on the eFiling solution (minus Juvenile courts), Tyler's configuration approach centers primarily around providing support and maintenance to the clerk community live with eFileTexas while ensuring a fully functioning system that meets the needs of their constituents. Through this configuration management process, clerks are able to keep a current code set in eFileTexas throughout the various actions that may necessitate a code change, based on their local business processes. Individual jurisdictions have the capability to request configuration changes at any time as business needs dictate, and the requested changes will be made by Tyler per contractual SLAs. Common reasons that Tyler has observed codes changes in the past were primarily due to revisions to the technology standards, legislative fee changes, new courts/clerks and other legislative updates.

Once the clerks submit their configuration modification request to Tyler, we will make the requested configuration updates on behalf of the clerk to ensure the systems meets their needs. This change is made in the eFileTexas Stage environment to provide the clerks with the opportunity to test the changes. Once the changes have been tested and approved, the changes are then implemented in the eFileTexas production environment. Additional information regarding the configuration process is below:

1. Clerk creates ticket with Tyler detailing configuration requests
2. Tyler receives ticket, and makes requested configuration changes in Staging environment

3. Clerk reviews configuration change in Staging environment and tests for accuracy
4. Clerk notifies Tyler that configuration changes have been tested and is ready to move to Production environment. Clerk stipulates the date to make change in Production
5. Tyler updates Production environment and notifies the clerk of the modification

The below table provides an overview of the participants and actions required to make a configuration code change.

Role	Action	Required Skills/Tools
<b>Local Jurisdiction Official (Clerk)</b>	Request and validate configuration modifications	MS Excel, Tyler Support Portal
<b>EFSPs</b>	Download configuration changes from the EFM nightly	ECF, SOAP Web Services, HTTPS, Cryptographic Message Syntax, XML Parsing
<b>Tyler</b>	Configuration Updates	MS SQL, MS Excel

Tyler currently utilizes two distinct environments to execute configuration modifications on behalf of the clerk community. The initial work is performed in the eFileTexas stage environment. The stage environment is utilized by the Tyler support team to perform the initial configuration and testing of the clerk requested modification. Once the modification has been tested by both Tyler and the local jurisdiction, the configuration is then migrated to the eFileTexas production environment. The production environment serves as the live program site, and once the configuration modification is completed inside of it, the modification then becomes available to the filing community. The current process requires a manual effort to copy the configuration from one environment to the other, which is a time-consuming task which is prone to human error. As we transition to eFileTexas 2.0, Tyler will add the capability to automatically backup and restore configuration between environments, which will increase efficiency and greatly reduce the opportunity for mistakes.

Configuration modifications commence upon request by an individual jurisdiction or JCIT code changes. All configuration modification requests that are initiated by an individual jurisdiction are logged in Tyler's Customer Support Portal (TCP) for historical record keeping.

Clerks currently have the capability to request code extracts of their current configuration in eFileTexas. The code extract process is initiated by a clerk submitting a request through TCP to Tyler support. Once Tyler receives the request, we extract all code tables configured in Production for the locations requested and provide them in spreadsheet form to the clerk for review. If the clerk sees modifications that need to be completed, they will update the spreadsheet with the changes and resubmit to Tyler to execute the modifications.

Tyler employed a vendor-led configuration and code maintenance policy as part of the eFileTexas project, to create procedural uniformity. With the enormous task of implementing multiple offices in 254 counties across the state in under three years, managing the system's configuration in a consistent way produced predictable results and mitigated that risk from the initial eFileTexas project.

As Tyler looks to eFileTexas 2.0, we see the strong need to empower the individual jurisdictions to take ownership of their respective eFiling configuration. Tyler plans to initially migrate the configuration

responsibilities of the most common code tables such as Filing Codes, Fee Codes and Case Types to the local clerk, thus allowing the clerk to make configuration changes at their discretion.

This change would greatly benefit the clerk community as it would provide them the ability to make configuration updates without contacting Tyler and would further reduce the wait time for changes to be applied. Owning the configuration responsibility would also provide clerks with the ability to configure and test their configuration updates to ensure the changes are in alignment with their expectations, prior to implementation in the eFileTexas production environment. While the goal is to empower clerks to have the ability to make configuration updates, Tyler’s Court Support team will be an ever-present guide providing training and advice on configuration best practices as well as invaluable troubleshooting for the clerk community.

Empowering clerks to update their local configuration will also provide the ability to perform configuration audits, unilaterally. The configuration UI that Tyler plans to develop will provide a listing of all currently configured codes, with the ability to export the codes from the UI into a spreadsheet for easy auditing tasks of the current code set. This auditing capability will provide clerks the ability to quickly identify configuration errors and update their code set without assistance from Tyler.

## 4.2 Analysis and Design

### 4.2.1 SOW Text

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

**Table 24: Analysis and Design Deliverable Expectations**

High Level Activities	
<p>This deliverable requires completion of the following steps:</p> <ol style="list-style-type: none"> <li>1. Validate the Contractor’s understanding of the requirements and submit an updated Requirements Traceability Matrix.</li> <li>2. Conduct joint application design sessions with OCA and appropriate stakeholders to define design-level requirements for the future state.</li> <li>3. Create future state Conceptual Design Documentation.</li> </ol>	
Associated Artifacts	Major Components
<p><b>1. Updated Requirements Traceability Matrix</b></p>	<p>Contractor shall review the functional and technical requirements defined in Attachment C: Requirements Response Workbook to validate the Contractor’s understanding of the requirements to meet the State’s expectations. The output of this review will be an updated traceability matrix of the requirements that includes any design considerations, gaps, issues, or risks that need to be addressed throughout the project.</p>

<b>High Level Activities</b>	
<b>Conceptual Design Documentation</b>	<p>Contractor shall create conceptual future state design documentation for application, data/content, and integration architectures, and all activities required to achieve the overall application architecture associated with eFileTexas 2.0. Conceptual design documentation shall include, but not be limited to, the following content:</p> <ul style="list-style-type: none"> <li>a) description of implementation methodology (e.g., agile, waterfall, etc.);</li> <li>b) description of user interface(s);</li> <li>c) detail specifications for business rules, external system interfaces, validations, screen layouts and user interfaces;</li> <li>d) Solution software configuration and setup requirements;</li> <li>e) specifications for Solution customizations; and</li> <li>f) security design and programming specifications.</li> </ul>
<b>Deliverable Acceptance Criteria</b>	<ul style="list-style-type: none"> <li>▪ Appropriate joint application design discussions have occurred between the Contractor and OCA and other appropriate stakeholders.</li> <li>▪ Updated Requirements Traceability Matrix and Conceptual Design Document are complete, correct, and comply with the contract requirements and the Deliverables Expectation Document.</li> </ul> <p>Note: OCA must formally approve each document before final acceptance of the deliverable.</p>

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

<b>X</b>	(1) Offeror accepts <i>SOW Text</i> for this section as provided.
	(2) Offeror requests alternate language for this SOW section (see below).

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

#### 4.2.2 Additional Offeror Response

1. *Identify any constraints and risks associated with the Solution requirements and interfaces anticipated in this project, and how the Offeror will address these to ensure successful implementation and deployment. Offeror shall describe any limitations and/or constraints of interfaces in an Offeror hosted environment.*

Tyler has products to accommodate the major solution requirements of the eFileTexas 2.0 RFO including the state provided EFSP, EFM, Forms Assembly, Document Access and Redaction. Tyler's ability to offer a comprehensive set of solutions to meet the requirements of the eFileTexas 2.0 RFO significantly reduces the risk of the project. By limiting the integrations between various disparate systems to the commercial EFSPs, case management solutions, and the Texas.gov payment processor, Tyler is able to provide a more consistent and reliable offering to support eFileTexas 2.0.

With this understanding, Tyler does foresee some risks associated with the solution requirements of the eFileTexas 2.0 project and it will be important to manage those risks accordingly. Below are the risks identified that we must overcome to ensure a successful implementation of eFileTexas 2.0.

##### **Payment Processing**

eFileTexas leverages the Tyler Online Gateway Application (TOGA), which in turn relies upon Chase Paymentech. Payment processing is a critical aspect of e-Filing, therefore transitioning to the texas.gov payment engine warrants the highest level of attention. Tyler proposes several measures for mitigating this risk item. First, Tyler plans to undertake this requirement in Phase 1 which will maximize the timeframe with which to work through any issues we encounter. Second, Tyler intends to abstract the Texas.gov integration behind the Tyler Online Gateway Application (TOGA). We intend to modify TOGA to support a reliance upon Texas.gov in the same manner that TOGA relies upon Chase Paymentech today. Taking this approach narrows the integration effort to a single system rather than the various micro-applications.

##### **ECF 5.0 Migration**

eFileTexas currently supports integrations with 25 e-Filing Service Providers and 13 Clerk Case Management Systems providers, encompassing 246 distinct integrations. These integrations are based upon ECF 4.01 APIs, whereas eFileTexas 2.0 calls for ECF 5. Tyler proposes several mitigations to de-risk this foreseen challenge. First, front-load the ECF 5 transition in Phase 1. This has several advantages, including avoiding undue time pressures, avoiding re-work for both Tyler and all vendors, and minimizing the scope of this transition. Second, Tyler will continue our practice of conducting vendor orientations and Compass Checks, with a targeted focus on this migration. Third, we propose that Tyler and the OCA jointly identify several pilot EFSPs and CMSs that will make the transition first, thereby minimizing risk to the rest of the integration base. Finally, Tyler will support both the existing ECF 4.01 APIs and the new ECF 5.0 APIs for a prescribed transitional period, thereby providing a built-in safety net to partners while working through any challenges.

##### **Integration Requirements for Enhancements**

Beyond the migration to ECF 5.0, several eFileTexas 2.0 functional requirements will also necessitate additional integration requirements for EFSPs and CMS providers. However, we believe our existing vendor partnering mechanisms (EFM Documentation and associated artifacts, Compass Checks, and consulting services) have served us well and will continue to meet the needs of vendors as we introduce these new integration requirements.

*2. Offeror shall describe the method for maintaining requirements traceability throughout the development process.*

As the existing solution provider for eFileTexas, one of the largest responsibilities of the eFileTexas 2.0 project will be the addition of new functionality to support the project requirements. It will be imperative that this process be managed carefully to ensure all requirements are met and the desired objectives are achieved. To accomplish this goal, Tyler will utilize a tracking system to oversee this process and all enhancement projects will individually be labeled as an enhancement request (EREQ) for the eFileTexas 2.0 project. Taking this approach will allow Tyler to track the status of each project to ensure they are successfully completed on time.

This tracking system includes a reporting capability which will allow Tyler to provide the OCA and JCIT with a listing of enhancement projects, along with their current statuses. The reports will provide a high-level view of the project statuses while the tracking system will offer a more detailed look at the individual enhancement projects. These reports will be generated and delivered as frequently as the OCA desires throughout the project and weekly meetings will be conducted to provide an overview of the enhancement development activity.

*3. Describe Offeror's approach to requirements gathering (e.g., design-level requirements) that should address the following:*

- a. Review of current state artifacts, such as existing forms, screens, and reports to ensure accurate inputs and outputs are accounted for in the design of the Solution.*
- b. Approach to conducting joint application design sessions with OCA and other stakeholders, any prototyping that will occur, and how stakeholders will be exposed early on and throughout the design / development process to how the system will look and function.*
- c. Approach to documenting conceptual design-level requirements. If the Offeror intends to propose an Agile approach or similar implementation methodology that does not rely on formal design documentation, Offeror should provide examples of how design requirements are managed (i.e. user stories, backlog).*
- d. Approach to validating and finalizing design specifications as a prerequisite to the Execute Phase, or if proposing an Agile approach or similar, describe how the design / prototyping / sprint process shall work.*

Tyler will obtain counsel from the OCA, users of our solutions and other project stakeholders, to obtain a better appreciation for the desired features and to ensure that the features developed meet the needs of the users. Tyler has established an iterative development approach, which incorporates the feedback and suggestions of this audience and provides multiple opportunities for input.

Generally, the filing activity is handled separately from the reviewing activity and the individuals performing these tasks are often different. Therefore, Tyler's development team has established two distinct steering committees to help us in solidifying our product roadmaps and ensure we collectively continue to move in the right direction. These two committees are focused on the filing experience and the reviewer experience, respectively.

Tyler currently conducts meetings with these two independent steering committees to vet the designs of major solution changes to ensure that existing functionality, as well as expected inputs/outputs, are maintained. These committees are comprised of a variety of resources that span Tyler’s client base across the country to ensure that functionality is designed for all markets. This provides an added benefit to our partners as many of the creative ideas surfaced in these groups are often applicable in states and jurisdictions. This group also serves as an outlet for colleagues to share ideas and seek efficient solutions to challenges they may encounter. In addition, Tyler is actively working to enhance this process by performing guided user testing and leveraging surveys to receive feedback in a way that can be measured and analyzed.

When working on a feature or solution that is heavily geared towards a specific market (such as the eFileTexas 2.0 requirements), Tyler partners with a subset of resources from that market in a smaller “working group” to perform an exploration and discovery exercise, thereby setting the scope for the project at a conceptual level before delving into minutia. This working group participates in phone conferences and online, web-based meetings to offer business processes reviews and provide valuable insight into market-specific functionality needs.

Tyler’s development team will use the data collected during the analysis process to construct user stories, and where applicable, mockups and/or prototypes to provide a better understanding of the functionality and present that information back to the smaller working group for review. This provides the working group opportunities to offer suggestions for improvement. If significant changes are required, they are made to the design and the process is repeated until a sufficient design is achieved. These outcomes provide the basis for acceptance criteria for contract deliverables.

Once the solution feedback has been incorporated into the design and has been accepted by the smaller working group, the design and related information is shared with the larger group of stakeholders for validation. Tyler recommends utilizing the same guided user testing process mentioned above to receive feedback and validation from the steering committee. Surfacing this information and obtaining alignment with the broader steering committee audience ensures all stakeholders have an appreciation for the features Tyler will develop and the objectives those features will accomplish. Taking this approach will also allow a broader group with varying perspectives the opportunity to identify gaps within the proposed solution, which may not have been considered by the smaller working group.

The user stories and mockups/prototypes are then placed in an internal ticketing system where it is then worked through development sprints by the various development teams.

## 4.3 Execute

### 4.3.1 SOW Text

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

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

**Table 25: Execute Deliverable Expectations**

<b>High Level Activities</b>	
<p>This deliverable requires completion of the following steps:</p> <ol style="list-style-type: none"> <li>1. Develop the Solution Implementation Plan.</li> <li>2. Develop the Help Desk Support Plan.</li> <li>3. Develop the Solution based on the requirements of the SOW and detailed design requirements identified in the previous phase through configuration, interface development, and other applicable development-related activities according to the Contractor’s software implementation methodology. <ol style="list-style-type: none"> <li>3.1. The Contractor shall integrate all components of eFileTexas 2.0, inclusive of any third-party software included as part of the overall Solution. The Contractor shall create interfaces with jurisdiction-level applications (i.e., court case management systems), Electronic Filing Service Providers, and other external systems (e.g., Texas.gov payment adapter).</li> </ol> </li> <li>4. Contractor shall perform data conversion and migration activities, including the execution and documentation of the results of the final conversion and migration of content into eFileTexas 2.0 inclusive of each phased conversion and migration as aligned with and applicable to the eFileTexas 2.0 phased rollout. Note: Final conversion runs will occur as part of go live / cutover activities for each deployment.</li> <li>5. The Contractor shall provide first-level end user Help Desk support for State EFSP, Document Access, Forms Assembly, and Court users. The Contractor shall provide Help Desk support for commercial EFSP providers. Commercial EFSPs shall provide direct Help Desk support for end users of such commercial EFSPs. <ol style="list-style-type: none"> <li>5.1. The Help Desk will log all reported problems, and either resolve the problem directly or escalate to specialists including the Contractor’s resources or third parties agreed upon with OCA.</li> <li>5.2. The Contractor shall provide multiple alternative communication channels to the Help Desk, including toll-free telephone services, email, real-time chat, and a web form contact process.</li> <li>5.3. To support effective communication with OCA, the Contractor will assign a single point of contact for OCA.</li> </ol> </li> <li>6. The Contractor shall provide maintenance and support of the Solution for the period defined in Attachment A: Master Services Agreement.</li> </ol>	
<b>Associated Artifacts</b>	<b>Major Components</b>
<b>Solution Implementation Plan</b>	<ol style="list-style-type: none"> <li>1) <b>Solution Implementation Plan:</b> Contractor shall describe the Solution implementation approach throughout application design, interface design, and conversion design; this plan shall include the following (at a minimum): <ol style="list-style-type: none"> <li>a) How the Contractor shall provide all system management tools for all development environments and shall manage all development efforts using industry-standard software development tools and methodologies.</li> </ol> </li> </ol>

High Level Activities	
	<ul style="list-style-type: none"> <li>b) Ensure that the Solution conforms to defined standards for System design and Systems architecture.</li> <li>c) Detail the approach to gather design-level specifications and develop the design documentation for custom built components such as interfaces.               <ul style="list-style-type: none"> <li>i) Detailed plans for integrating eFileTexas 2.0 with systems in use by OCA, jurisdictions, and other external organizations.</li> </ul> </li> <li>d) Contractor shall provide the following sub-component plans that describe the following (at a minimum):               <ul style="list-style-type: none"> <li>i) <u>Security Plan:</u> <ul style="list-style-type: none"> <li>(1) Approach for monitoring eFileTexas 2.0 security, including how it complies with TAC 202.</li> <li>(2) Approach for keeping eFileTexas 2.0 security capabilities current with evolving known and potential security threats.</li> <li>(3) Security incident response plan details that describe the following (at a minimum):                   <ul style="list-style-type: none"> <li>(a) security roles and responsibilities, mission statement, key terms governing incident response, identification of an incident response lead, and incident detection channels.</li> <li>(b) Strategy to identify and categorize incidents.</li> <li>(c) Process to communicate, contain, eradicate, and recover from incidents.</li> <li>(d) Post-incident activities to ensure continuous security improvement.</li> </ul> </li> </ul> </li> <li>ii) <u>Disaster Recovery &amp; Business Continuity Plan:</u> <ul style="list-style-type: none"> <li>(1) Approach for initiating disaster recovery and/or business continuity procedures to be undertaken in the event of a disaster affecting eFileTexas 2.0.</li> <li>(2) Approach for ensuring all information necessary to restore operational service in the event of a disruption are correct and up to date.</li> <li>(3) Functional roles and responsibilities of recovery teams.</li> <li>(4) Description of recovery scenarios that can be implemented.</li> <li>(5) Recovery activities to be exercised and frequency of testing.</li> </ul> </li> </ul> </li> </ul>

<b>High Level Activities</b>	
	<ul style="list-style-type: none"><li>(6) Description / location of data backups, inventories, or other related documentation that must be recorded.</li><li>iii) <u>Infrastructure Services Plan:</u><ul style="list-style-type: none"><li>(1) Definition of each eFileTexas 2.0 environment (e.g., production, staging, test, etc.).</li><li>(2) Approach for maintaining application and infrastructure component consistency across all eFileTexas 2.0 environments.</li><li>(3) Approach for certifying and/or providing quality assurance of eFileTexas 2.0 environments.</li><li>(4) Approach for managing programming environment changes including management of test and deployment of new releases while maintaining capacity to apply hotfixes to production.</li><li>(5) Approach for communicating and supporting testing of eFileTexas 2.0 environments with external organizations/systems.</li><li>(6) Approach for establishing initial capacity and anticipated growth requirements for eFileTexas 2.0 including but not limited to storage, processing and network bandwidth.</li><li>(7) Approach to performance tuning to ensure the Solution operates optimally and within defined serviced levels, Services shall include (at a minimum):<ul style="list-style-type: none"><li>(a) Impact analysis of upcoming patches and upgrades;</li><li>(b) Modifications to Contractor-provided components and configurations to support upcoming patches and upgrades;</li><li>(c) Testing and deployment of patches and upgrades in all environments;</li><li>(d) Continuous health checks of the production system;</li><li>(e) Continuous tuning and other required system level administration;</li><li>(f) Recommendations for system performance tuning; and</li><li>(g) Application modifications required to support scheduled infrastructure upgrades.</li></ul></li></ul></li></ul>

High Level Activities	
	<p>(8) Approach for monitoring on-going usage and growth patterns of eFileTexas 2.0 resources including for cumulative growth and peak usage patterns.</p> <p>(9) Approach for deployment of additional capacity as specified in the original plan and per the results of on-going capacity monitoring.</p> <p>(10) Approach for preventative and unplanned services to eFileTexas 2.0 services.</p> <p>(11) Documentation of third-party infrastructure service providers and associated communication and management processes.</p> <p>(12) Communication protocols inclusive of OCA, Courts, EFSPs, and filers for infrastructure services.</p> <p>2) The Contractor shall develop a detailed <b>Conversion and Migration Plan</b> and shall coordinate all conversion activities.</p> <p>a) Contractor shall create a Conversion and Migration Plan that includes (at a minimum):</p> <ul style="list-style-type: none"> <li>i) scope of source data to be converted (e.g., source system/database, date range, case type);</li> <li>ii) source to target data mappings for all fields to be converted;</li> <li>iii) data transformation rules;</li> <li>iv) data validation and exception rules;</li> <li>v) exception report format; and</li> <li>vi) incremental data conversion approach if applicable to Contractor’s proposed approach (aligned with phased rollout of eFileTexas 2.0).</li> </ul> <p>b) The Contractor shall work closely with the incumbent eFileTexas vendor (as facilitated by OCA) to create data conversion algorithms, and data maps, identify impacts on existing systems and develop procedures for handling problems such as invalid formats of data values requiring validation.</p> <p>c) Data conversion and migration encompasses the transfer of eFileTexas documents and data, where applicable, into eFileTexas 2.0. All content in the current eFileTexas document access module (e.g., re:SearchTX), forms assembly (i.e. Guide and File) and eFiling configuration shall be migrated.</p>

High Level Activities	
	<p>3) Contractor shall create a <b>Cutover Plan</b> that includes (at a minimum):</p> <ul style="list-style-type: none"> <li>a) Cutover Plan - Contractor shall perform go live cutover planning activities to assess transition readiness, go/no-go criteria, and fallback positions to be taken if no-go conditions are encountered for individual deployments. Additionally, Contractor shall provide a preliminary cutover schedule that clearly defines key milestones, deliverables, tasks and responsibilities. The Cutover Plan will be updated prior to go live.</li> <li>b) Cutover milestones where readiness to proceed is assessed, go/no-go criteria, and fallback positions to be taken if no-go conditions are encountered.</li> <li>c) Pre-cutover checklist and post-cutover evaluation criteria.</li> <li>d) Transition readiness assessment, including the preliminary schedule, rollback strategy, assessment scorecards, and defined critical readiness criteria that will drive go / no-go decisions related to overall readiness / preparedness for going live on eFileTexas 2.0.</li> </ul>
<b>Help Desk Support Plan</b>	<p>1) During the Execute phase, the Contractor shall develop the initial draft of the Help Desk Support Plan to describe how Help Desk services will be provided for eFileTexas 2.0.</p> <ul style="list-style-type: none"> <li>a. The Help Desk must be fully operational at the first eFileTexas 2.0 phased deployment.</li> <li>b. Contractor shall provide a staffing plan and resumes for Key Production Support Staff to OCA for review and approval.</li> <li>c. Contractor shall update this plan during cutover, and it will be responsible for updating the plan annually for the life of the contract.</li> </ul>
<b>Deliverables Acceptance Criteria</b>	<ul style="list-style-type: none"> <li>▪ Solution Implementation Plan, Conversion and Migration Plan, Cutover Plan, and Help Desk Support Plan are complete, correct and comply with the contract requirements and the Deliverables Expectation Document.</li> <li>▪ Development is considered complete and ready to enter the system test phase.</li> <li>▪ Conversion script development is complete, with initial conversion runs and testing successfully performed for each planned deployment phase. Final conversion run will occur as part of go live / cutover for each planned deployment phase.</li> </ul>

High Level Activities	
	Note: OCA must formally approve each document before final acceptance of the deliverable.

<b>Offeror Response to SOW Text (select one by entering an 'X' in the appropriate box):</b>	
<input checked="" type="checkbox"/>	(1) Offeror accepts <i>SOW Text</i> for this section as provided.
<input type="checkbox"/>	(2) Offeror requests alternate language for this SOW section (see below).
<b>Offeror's alternate SOW Text (provide if option 2 selected above):</b>	

**4.3.2 Additional Offeror Response**

*The Offeror shall provide the following information in its Offer:*

1. *Development Approach:*
  - a. *description of configuration methodology and approach to configuration;*
  - b. *description of any development approaches and tools used to script, code, or otherwise "develop" the Solution (outside of configuration) that may be necessary to meet the OCA's requirements; and*
  - c. *description of any major components of the Solution that may require customization of the proposed base product.*

Tyler is uniquely positioned to deliver on the eFileTexas 2.0 project, as the incumbent solution provider of eFileTexas. A significant portion of the work required in the eFileTexas 2.0 project RFO has already been accomplished the OCA, JCIT and Tyler over the last seven years. Instead of responding to this project execution section with information pertaining to our previously used approach to achieve our current position with eFileTexas, Tyler intends to use this section of the response to articulate how we intend to transition from eFileTexas to eFileTexas 2.0, leveraging a sound execution strategy.

**Development Approach**

Tyler plans on utilizing our proven implementation methods when configuration activities are required during this engagement. Tyler's approach to configuration tasks is dependent upon the configuration task at hand. If the configuration task pertains to the enablement of new courts or case types to the eFileTexas program, Tyler will utilize the iterative implementation method that was used to successfully bring live the 254 counties in the initial eFileTexas implementation. This approach permitted Tyler and the State to implement numerous courts concurrently, while averaging a project duration of 89 days from kickoff to go-live beginning with Gregg county on June 26, 2013. This same strategy was utilized to bring live the 254 counties with criminal eFiling, which concluded with Live Oak county on December 31, 2019.

Implementing new courts and case types with this proven approach should yield similar results, as the State contemplates mandating electronic filing in Juvenile and Justice Court cases.

For the implementation of new features within the eFileTexas system, Tyler will utilize the proven approach of configuring features in the system. Tyler will implement these configuration changes in the eFileTexas stage environment for testing and validation. Once the solution has been tested thoroughly, Tyler will partner with the State to determine a transition date to enable the functionality in the eFileTexas production environment. The functionality may be enabled at individual court locations or globally across the system, depending on the direction of the OCA.

In addition to enabling the functionality in the eFileTexas production environment, Tyler will also enable the functionality in the eFileTexas test environment. The eFileTexas test environment is a replicated environment of eFileTexas production and allows project stakeholders to test the solution in a similar environment without impacting real case records and information. Using the test environment provides the project team with a non-production testing realm while freeing up the stage environment to consume the next software release for validation testing.

## *2. Systems Integration:*

- a. Offeror shall describe their overall approach and strategy for integrating the proposed Solution into the existing statewide environment (EFSPs, CMS, etc.) and provide an architectural diagram of the proposed environment.*
- b. Level of interoperability between the different components of the Solution and how that will be achieved (eFiling, Forms Assembly, Document Access, Redaction).*

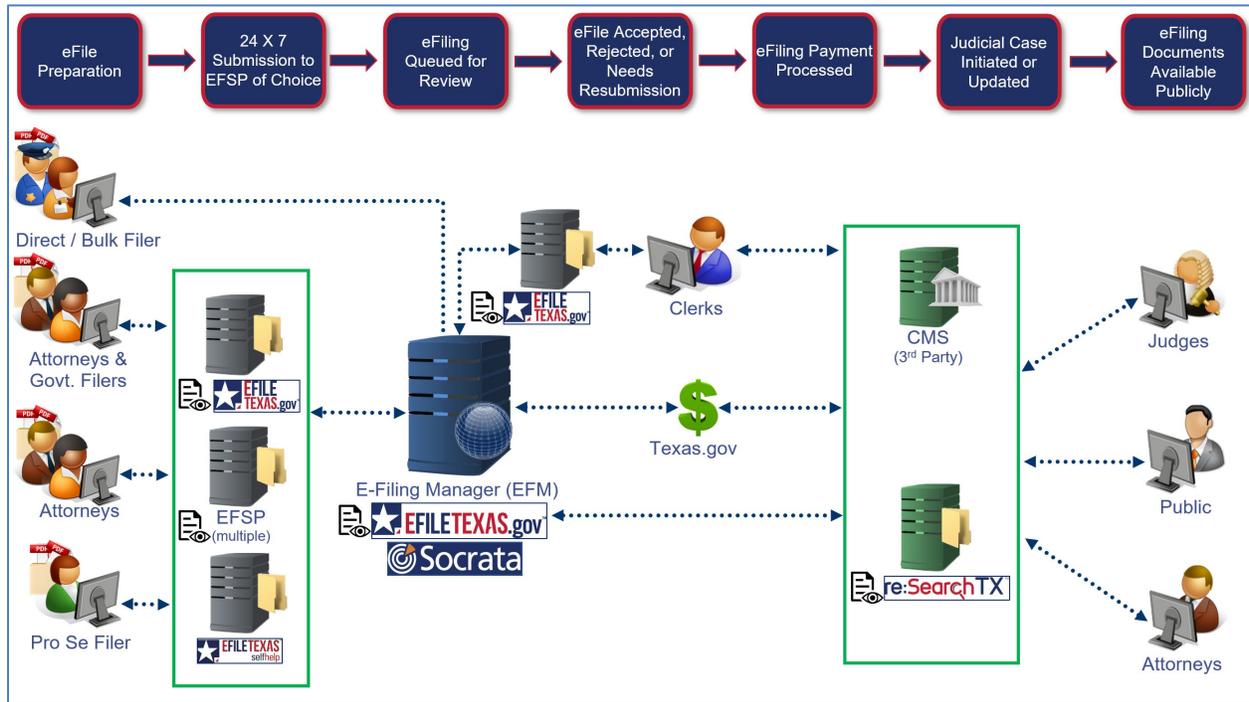
## **Systems Integration**

Tyler possesses a suite of applications that work harmoniously together to create an end-to-end solution, that meets the OCA's requirements with regards to the eFileTexas 2.0 project. Tyler's application suite eliminates the need of integrating with other third-party applications, which reduces the steps required when troubleshooting issues that may surface. The Tyler Redaction service functions from within Tyler's applications and our third-party partners. The Redaction solution is built directly into the eFileTexas filing portal, the eFileTexas clerk review tool, within re:SearchTX and is also leveraged by a few commercial EFSPs.

Currently, Tyler utilizes Chase PaymenTech to process over \$150,000,000 in electronic payments in the eFileTexas system each year. One modification to the current model would be the transition from Chase PaymenTech to the Texas.gov payment processing system. To successfully accomplish this migration, Tyler will need to partner with Texas.gov quickly to establish the integration and to thoroughly test the solution. This will be imperative to ensuring this change will not result in any disruption of service for eFileTexas. Testing this solution will require solution validation, connectivity tests and load tests to ensure the Texas.gov system can sufficiently process the existing and anticipated eFileTexas payment volume.

In addition to the transition to the Texas.gov payment engine, Tyler also plans to establish a method which will allow filers to bulk submit their records. This will create efficiencies for both the filers, and the clerks, by providing a simplified way to submit these records to produce a consistent and reliable result for the clerk community. The new, proposed eFileTexas 2.0 environment will look like the below diagram.

Figure 4.3.2-1 – eFileTexas 2.0 Environment



3. *Trainings and Work Sessions:*

- a. *Offeror should describe anticipated trainings and work sessions with EFSPs, CMS vendors, Forms Assembly administrators, and court staff to ensure successful application implementation and interface development.*

**Trainings and Work Sessions**

As the current eFileTexas solution provider, Tyler and the State have already conducted the significant education and communication outreach required to familiarize third-party partners with the work needed to integrate with eFileTexas. Ongoing EFM Compass Check meetings permit Tyler and the OCA to proactively communicate changes to the eFileTexas system to third-party partners, like commercial electronic filing service providers (EFSPs) and case management system (CMS) vendors. These meetings are conducted via webinar and serve as a foundation for third-party partners to surface any challenges they may be faced with, throughout the engagement.

Today, eFileTexas currently supports 13 different CMSs, including 7 commercial providers and 6 home-grown solutions and 25 EFSPs, inclusive of the state-provided eFiling portal (eFileTexas) and Forms Assembly program (SelfHelp.eFileTexas). New EFSPs and CMS vendors who wish to integrate with eFileTexas are handled separately from the Compass Check meetings, to be mindful and courteous to all stakeholders’ time. These new third-party entities are routed through Tyler’s well-established third-party partner onboarding program, which includes access to Tyler’s integration documentation and artifacts, as well as one-on-one time to introduce the team and integration concepts of eFileTexas. Ongoing support

is provided for these entities and they are also encouraged to begin participating in the EFM Compass Check meetings.

In migrating from eFileTexas to eFileTexas 2.0, the concept of self-service administration will be introduced. In the past, Tyler has managed the configuration activities necessary to implement and support eFileTexas. As we transition to eFileTexas 2.0, Tyler will introduce code configuration tools which will permit authorized users to manage the configuration tasks themselves. These configuration activities will require an educational training activity to empower these administrative users with the knowledge needed to leverage these tools and configure the system. Examples of these configuration tasks may include clerks changing financial amounts for their Courts to accommodate legislative changes, Forms Assembly administrators configuring guided interviews for self-represented litigant filings or Redaction administrators configuring structured forms containing sensitive data.

With these activities, Tyler will conduct multiple, online training sessions to help educate authorized users on the tools to complete these administrative tasks. Tyler will partner with the OCA to ensure the right audience is participating in these sessions and record them for those who are unable to attend the live events. Tyler will also create and make available, training documentation to empower and support these users as they begin assisting with the configuration activities of eFileTexas.

#### *4. Data Migration Strategies:*

- a. Offeror shall describe its strategy and level of involvement for converting and/or migrating data from eFileTexas into the proposed eFileTexas 2.0 Solution. This section should include:
  - i. Description of the methodology to be used in developing conversion and/or migration specifications and the identification of any potential issues.*
  - ii. Describe any constraints and risks associated with data conversion and migration for this project and how the Offeror will address these to ensure a successful migration.*
  - iii. Technology and tools to be used.*
  - iv. Roles and responsibilities of Offeror vs. OCA and other stakeholders.*
  - v. Any iterative data migration proposed, including proposed number of mock runs for data migration.*
  - vi. Offeror should describe anticipated work sessions with EFSPs, CMS vendors, Forms Assembly administrators, and court staff to validate the conversion.**

#### **Data Migration Strategies**

With over 50 years of software experience in the public sector, Tyler has led thousands of software projects requiring data conversions and migrations from legacy systems. Through these experiences, Tyler has concluded that the data migration/conversion activity is generally one of the most difficult and risk-intensive activities of the engagement. Due to Tyler's current position as the incumbent eFileTexas software provider, there will be no need to embark upon the risky and laborious endeavor of converting and/or migrating the data of over 500 offices across the state. The elimination of this challenging activity,

de-risks the project significantly, and allows the project team to focus on implementing new functionality to enhance the user experience as we transition to eFileTexas 2.0.

With the transition to the new payment processor, Tyler will orchestrate a migration event for county offices which will not include the transferring of historical data to the new Texas.gov system. After the transition has been thoroughly communicated to all impacted stakeholders, the changes will be made in the eFileTexas production system to begin utilizing the new Texas.gov payment processor. After the configuration changes have been applied, all transactions that are captured will be processed through the Texas.gov payment engine. Taking this approach minimizes the impact on the clerk community, by eliminating the need to reconcile transactions from multiple payment processors as part of the transition. However, this convenience for the clerks does add some potential risk to those transactions that may be “in-flight” during the transition.

Tyler will proactively work with clerks to process any backlog of envelopes that may be present, leading up to the transition event. This will minimize the associated risk with these transactions. By performing a hard cutover to the Texas.gov payment engine, any envelopes that possess money and that were submitted but not accepted prior to the cutover may be impacted. Filers will likely have to re-register their payment accounts (credit and debit cards) within the new Texas.gov payment engine before they can submit envelopes containing financial payments. Those new transactions will go through an authorization and the payment will be captured by the Texas.gov payment processor at the time of acceptance, assuming the payment method has been configured with the new payment engine by the filer. Any pre-authorizations that may have been performed when the envelopes were submitted would no longer be valid and would remain as a hold on the filer’s payment method until it drops off naturally by the financial institution.

Tyler will work with the OCA to effectively communicate this scenario to the filing community as part of this transition, to minimize this situation’s occurrence. This communication will carefully explain the transition to the new payment processor and discourage filers from submitting envelopes with monetary amounts during the short window while the changes are made in the system. Tyler will also make these changes late into the evening, when the filing volume is extremely low to further mitigate this risk.

#### *5. Help Desk Support:*

- a. Describe Offeror’s customer support programs or communities, such as user groups or forums (in-person and/or online), that will be available to end-users and technical support staff. Identify the benefits to OCA of participation in these support programs or communities.*
- b. Describe the availability of an online knowledge base that can be accessed directly by end-users and technical staff to obtain answers to frequently asked questions or perform research on symptoms to identify resolutions to known issues. Additionally, describe any interactive services (e.g., online chat) that will be available to system users.*

### **Help Desk Support**

From Tyler’s perspective, the support and maintenance of the program is just as important as the implementation. Failure to provide adequate support to all stakeholders can result in a poorly managed program resulting in a negative experience for the users. Tyler’s dedicated File & Serve Support Services

has over 35 years of experience in serving the needs of both court and attorney/public users. All of our Support Services staff is located in the continental United States, the majority of which are in our Plano, Texas corporate headquarters. We also have additional Support Services staff operating out of other Tyler offices located in Longview, Texas and Lakewood, Colorado. We currently do not use any outsourced support staff.

Our team follows the industry standard for Customer Satisfaction rates set by the independent Technology Services Industry Association, or TSIA ([www.tsia.com](http://www.tsia.com)). TSIA's industry standard customer satisfaction rates are 4.2 for public end users and 4.6 for business end users such as the clerks. Tyler's Filer Support Average Customer Satisfaction Rating for public end users is 4.52 on a scale of 1 to 5, significantly higher than both the peer and industry group averages set at 4.2. Tyler's Court Support Average Customer Satisfaction Rating for business end users is 4.7 on a scale of 1 to 5, which is also above the industry average.

Our support services utilize industry standard call methodology. During normal business hours, incidents submitted through our online customer portal are responded to immediately to allow the reporter confirmation that the incident was received. Most internal updates to the ticket provide an automated email response to the email address of the reporter. Severity 1 incidents can be reported through Tyler's online Customer Portal or by calling our Support help desk and an agent will provide next steps, as well as an estimated resolution time. Outside normal business hours, severity 1 incidents can be reported via an answering service and an agent will respond to the reporter with the next steps and expected resolution time 24 X 7. Our Support Services cover financial training and the staff is responsible for assisting clerks with daily, weekly, or monthly balancing and reconciliation needs and/or questions. Tyler also employs accounting professionals that can help in escalated scenarios.

Tyler's support services use every interaction as an opportunity to improve our products and delivery. At the conclusion of every contact, Tyler's support teams are encouraged to evaluate the question of "How could Tyler have eliminated the user's need to contact support?" Tyler understands that the time spent with support is time taken away from the stakeholder, preventing them from doing what matters most. For this reason, Tyler offers Self-Service Support to all stakeholders through an online knowledge base application that allows them to search for help articles and locate information to resolve issues independently. The help articles share information on current application defects and instructions on required information for different support tasks.

A critical success factor to this approach is a continuously evolving the knowledge base, which is driven by customer feedback and utilization. Each incident to Tyler's support is linked to a knowledge base article and if no article is closely related to the issue, the team creates a new one. In 2019, Tyler's support teams began a multi-phased plan to further enhance our self-service capabilities. This plan includes certifying Tyler Support staff in Knowledge-Centered Service (KCS) 6.0, updating knowledge base management tools to industry best-of-breed and exposing knowledge base articles to clerks. Tyler plans to continue this effort by expanding knowledge access to solution vendors and increasing article search efficiencies for filers.

Tyler uses the filing to incident ratio to measure the success of Tyler's self-service methods. Over the past 6 months, Tyler has averaged a 2,576:1 filing to incident ratio for Court Support and a 232:1 filing to incident ratio for Filer Support, from a filing volume of almost 25 million successful filings. Tyler's goal is to continuously reduce the volume of support incidents through KCS methodology, by providing feedback

to development and implementation teams which help improve implementation processes and enhance the solution's usability.

Tyler appreciates the fact that numerous stakeholders will be involved in a project of this magnitude and each must be supported differently, to provide them with the level of service they respectively warrant. For this reason, Tyler has multiple support teams – each dedicated to supporting the various project stakeholders of the eFileTexas program.

Filer Support – Tyler's filer support team focuses on providing exceptional support to the filing community. Whether the filer is a well-seasoned legal professional who needs assistance using the state-provided filing portal to submit a document to Dallas county or a first time, self-represented litigant filer requesting assistance using the state-provided Forms Assembly solution (SelfHelp.eFileTexas), the filer team is prepared to assist. Tyler provides several support channels for the filing community to leverage for assistance including, phone support, chat support, email support, an online knowledge base system, online tutorial videos and periodically conducted live training sessions.

Court Support – Tyler's court support team was created with the understanding that the clerk's needs, when reviewing filings within eFileTexas, are significantly different than the filing community. Clerks need to speak with support personnel who are familiar with how clerks operate and the unique business processes in the State of Texas, while appreciating local variances within each of the 254 counties across the state. Our court support team specializes in supporting clerks, judges and other county personnel who use the eFileTexas system to review filings and offers several support channels for this community. These support channels include phone support, email support, an online knowledge base system, an issue logging/tracking system, online tutorial videos and periodically conducted live training sessions. Additionally, this group of users can participate in Tyler Community, Tyler's online discussion forum that is geared towards bringing this community closer together. Users of this community have the opportunity to surface procedural challenges and hear how colleagues in similar situations have handled them. This creative outlet yields productive solutions to challenging situations while surfacing obstacles that may be prevalent across the community.

This team is equipped to support clerks from Courts of varying size and complexity. Whether it is supporting the clerks from Loving county or from Harris county, this team can provide the level of support that is needed from this broad user community. They also provide exceptional support to the higher Courts including the Courts of Appeal, Criminal Court of Appeals and the Supreme Court of Texas.

Integration Support – Tyler's integration support and consulting team was established with an understanding that integration partners need a more technically-minded support team to help them in establishing and maintaining their integration with eFileTexas. This group offers several support channels to assist Tyler's third-party partners including phone support, email support, an issue logging/tracking system, online video tutorials and periodically conducted live training sessions. This team also offers an onboarding program for new integration partners, as well as a monthly EFM Compass Check meeting which provides an opportunity for technical resources to come together and collaborate through challenges. These monthly meetings provide integration partners the ability to surface technical challenges they may be facing and receive advice from technically-minded peers.

2019 eFileTexas Integrations Support Statistics				
Phone	E-Mail	Web	Total	Avg Resolution Time
109	46	3,285	3,437	10 Minutes 6 Seconds

OCA & JCIT Support – Tyler understands that support also spans further than just the user community and that other stakeholders, like the OCA and JCIT, require a different type of support. Tyler’s approach to supporting these partners is to dedicate team members to providing timely and effective support. Through the use of a Client Executive and Client Success Account Manager, Tyler is able to provide monthly status updates on the eFileTexas program to the OCA, participate in quarterly JCIT meetings by delivering status updates to the JCIT community and conduct weekly touchpoint meetings with the OCA to ensure project challenges are surfaced and the project stays moving in the right direction.

These resources provide real-time updates if severity 1 incidents ever transpire and offer immediate access to on-demand reports and analytics, as requested. It isn’t out of scope for these resources to pull data for the OCA and generate varying perspectives of the data to help the OCA better understand the impact of a situation, like COVID-19. Another example where this team provides value would be to offer immediate assistance in the event of emergencies. These resources operate as a concierge to the OCA and the Supreme Court, being available at night and over the weekends to do whatever is necessary to support these partners.

## 4.4 Testing

### 4.4.1 SOW Text

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

**Table 26: Scope of Testing for eFileTexas 2.0**

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

	The Contractor shall coordinate interface testing third party entities, including but not limited to, EFSP providers, courts and court CMS providers.		
<b>System Testing</b>	<p>Test the entire Solution including components that will be integrated on the hosted platform. System tests are executed with functional requirements and address the information flow in the system, where the underlying assembled units are no longer addressed separately, but as a whole. System testing often is the test that indicates to the development community whether the system is behaving as required, verifies and validates that a system can work in production.</p> <p>The Contractor shall perform end-to-end system testing and resolve any defects discovered, until system test results are produced to demonstrate the successful operation of the system, ensuring that the system is functioning, performing, and processing documents and data correctly.</p>	Contractor, EFSPs, CMS Vendors	Occurs once development is "code complete"; Must be completed satisfactorily prior to User Acceptance Testing
<b>Security / Intrusion Testing</b>	Test the authentication, authorization, and data protection of the application.	Contractor, EFSPs, CMS Vendors	Must be completed prior to cutover
<b>User Acceptance Testing (UAT)</b>	<p>Validate end-to-end business processes, comparing actual vs. expected results. UAT validates the system setup for transactions and user access, confirms the expected and intended use of the system, verifies performance on business-critical functions, and confirms application integrity.</p> <p>The Contractor shall support UAT testing activities conducted by OCA and business stakeholders, and resolve defects to ensure eFileTexas 2.0 functions properly and meets the acceptance criteria for exiting the Testing Phase.</p>	OCA & Business Stakeholders	Occurs after System Testing and Prior to go live

<p><b>Stress/Performance Testing</b></p>	<p>Test 'transaction processing' capacity of the 'system' when the system refers to a process, application or infrastructure to look at behavior with standard, increased and decreased workload.</p> <p>The Contractor shall perform performance testing to validate the eventual full-scale use of the system by all courts and filers, including mimicking the anticipated growth in the number of users, documents, and storage requirements as the system is deployed. The Contractor shall continue performance testing until performance measures are met and are expected to be met under full operational conditions.</p> <p>The Contractor shall work with third-party network resources to perform a network analysis to determine any likely network deficiencies leading to poor system testing results.</p>	<p>Contractor</p>	<p>Part of System Testing; must be completed prior to UAT</p>
<p><b>Regression Testing</b></p>	<p>Retest a previously tested 'system' following modification to ensure that faults have not been introduced/ uncovered as a result of the changes. Common tests include re-runs of previous functional tests and checks of re-emerging of previously fixed faults.</p>	<p>Contractor</p>	<p>Between Phased Deployments</p>

Table 27: Defect Definitions

Defect Level	Definition
<p>1</p>	<p>A Documented Defect that causes:                      (a) complete application failure or application unavailability;                      (b) application failure or unavailability in one or more of Authorized Users locations; or                      (c) systemic loss of multiple essential system functions.</p>
<p>2</p>	<p>A Documented Defect that causes:                      (a) repeated, consistent failure of Essential Functionality affecting more than</p>

	one user; or (b) loss or corruption of data.
3	A Level 1 Defect with an existing Circumvention Procedure, or a Level 2 Defect that affects only one user or for which there is an existing Circumvention Procedure.
4	A Documented Defect that causes failure of Non-Essential Functionality or a cosmetic or other Documented Defect that does not qualify as any other service level defect.

Table 28: Testing Deliverable Expectations

High Level Activities	
<p>This deliverable requires completion of the following steps:</p> <ol style="list-style-type: none"> <li>1. Develop Test Plan based on Table 26: Scope of Testing for eFileTexas 2.0 which outlines the scope of testing, Contractor’s responsibilities, and defect definitions in Table 27: Defect Definitions.</li> <li>2. Setup and Manage Test Environment                             <ol style="list-style-type: none"> <li>2.1. The Contractor shall plan, design, and implement a test environment that replicates the production environment and network connectivity. The Contractor shall load the test environment with enough data to perform effective testing. The Contractor shall develop detailed test conditions, prepare test scripts, and utilize automated testing tools as appropriate to facilitate the testing process.</li> </ol> </li> <li>3. Conduct System Testing and Resolve Defects                             <ol style="list-style-type: none"> <li>3.1. For each defect identified during testing, OCA and the Contractor use a prioritization rating indicating the relative sequence to fix defects as defined Table 27: Defect Definitions in the previous section.</li> </ol> </li> <li>4. Submit Final System Testing Results.</li> <li>5. Support UAT, Defect Resolution, and Submit UAT Results.</li> </ol>	
Associated Artifacts	Major Components
<p><b>Test Plan</b></p>	<p>The eFileTexas 2.0 Test Plan shall describe the Contractor’s approach for conducting all testing, including:</p> <ol style="list-style-type: none"> <li>a) Approach to complete all testing activities outlined in Table 26:Scope of Testing for eFileTexas 2.0. Specifically address:                             <ol style="list-style-type: none"> <li>i) Systems integration testing per OCA acceptable response times;</li> <li>ii) Stress / performance testing, including pass criteria that can handle the transaction load data described in Section 4.1: Project Background and Objectives; and</li> </ol> </li> </ol>

High Level Activities	
	<ul style="list-style-type: none"> <li>iii) Security / Intrusion testing, including assurances that security controls delineated through TAC 202 are met;</li> <li>b) Test Data Creation approach, including data refresh processes;</li> <li>c) Automated Test Usage (optional, but preferred by OCA);</li> <li>d) User Acceptance Testing Scripts and support; and</li> <li>e) Defect remediation release strategy and regression testing.</li> </ul>
<b>System Testing and Test Results</b>	<ul style="list-style-type: none"> <li>1) Contractor shall perform end-to-end System Testing inclusive of integration testing and providing System Test results that describe the following (at a minimum):               <ul style="list-style-type: none"> <li>a) Date scenario was executed;</li> <li>b) Person who executed the scenario;</li> <li>c) Test result status (pass/fail);</li> <li>d) Defects discovered;</li> <li>e) Retest dates and results; and</li> <li>f) Justification for exiting System Test stage.</li> </ul> </li> <li>2) Contractor shall perform performance testing to validate the eventual 300% full-scale use of the system by all courts and filers, including mimicking the anticipated growth in the number of users, documents, and storage requirements as the system is deployed. The Contractor shall continue performance testing until performance measures are met and are expected to be met under full operational conditions.</li> </ul>
<b>User Acceptance Testing and Test Results</b>	<p>Contractor shall be responsible for ensuring UAT is completed with defects resolved to ensure eFileTexas 2.0 is functioning properly. For each test scenario during UAT, the test results shall describe (at a minimum):</p> <ul style="list-style-type: none"> <li>a) Acceptance test results for the overall Solution and for each jurisdiction deployment;</li> <li>b) Date scenario was executed;</li> <li>c) Person who executed the test scenario;</li> <li>d) Test result status (pass/fail);</li> <li>e) Defect, priority, and resolution log;</li> <li>f) Retest dates and results; and</li> <li>g) Justification for exiting UAT stage.</li> </ul>

High Level Activities	
<b>Deliverable Acceptance Criteria</b>	<ul style="list-style-type: none"> <li>▪ The Test Plan, the System Test Results, and the User Acceptance Test Results are complete, correct, and comply with the contract requirements and the Deliverables Expectation Document.</li> </ul> <p>2. Note: OCA must formally approve each document before final acceptance of the deliverable.</p>

<b>Offeror Response to SOW Text (select one by entering an 'X' in the appropriate box):</b>	
<input checked="" type="checkbox"/>	(1) Offeror accepts <i>SOW Text</i> for this section as provided.
<input type="checkbox"/>	(2) Offeror requests alternate language for this SOW section (see below).
<b>Offeror's alternate SOW Text (provide if option 2 selected above):</b>	

**4.4.2 Additional Offeror Response**

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

**Testing Methodology (Phases)**

Tyler's testing methodology spans the entire lifecycle of development, beginning with unit testing as the software is developed and continuing through to full system testing and user acceptance testing as the software is deployed. Throughout this testing cycle, Tyler utilizes a wide array of testing methods and tools to manage the automated testing, unit testing, integration testing, API testing, regression testing, performance/load testing and more. Each of these tests are uniquely designed to validate specific objectives and ensure Tyler delivers software of the highest quality. These various tests are maintained in a library so that they can be easily managed, and the result of each test instance is recorded for historical reference. Although each test has a definitive end point where quality is measured, the tests are often repeated over time to ensure quality is maintained throughout the life of the project.

Preemptive solution testing, coupled with proactive solution monitoring, permits Tyler to provide quality products and services across the eFileTexas program.

Central to the success of Tyler's development and testing efforts is the Atlassian enterprise suite of tools. This includes JIRA, a software tracking tool which is used to maintain the software development workflows, tasks, and defect monitoring. All defects encountered during any testing phase, as well as defects reported through one of Tyler's various support channels, are logged in JIRA and directly tied to source code management.

In addition to the management of the software development workflows, each defect entered into the tracking system includes, but is not limited to, the issue reporter, priority, affected software version(s), resolved software version(s), state/jurisdictions affected, application/functional area impacted, detailed steps to reproduce, expected behavior, actual behavior, and QA testing details. This allows Tyler to have a comprehensive view of the issue so that it may be prioritized and managed appropriately.

In conjunction with JIRA, Microsoft CRM is the primary incident tracking tool for all of Tyler support teams and Tyler possesses an online Customer Portal for client reported issues. These CRM incidents are managed by the clients, and Tyler support teams, and are directly integrated with JIRA. This allows Tyler teams to prioritize and track software defects from initial client reporting, through issue triage, defect remediation, code changes, and deployment of software updates to the various client environments.

As each software version is released for deployment, the resolved defects are reported out of JIRA and provided to all stakeholders to be included in user acceptance testing (UAT) processes.

Tyler utilizes industry-standard tools to execute various types of automated tests. Many of these tests are run as part of the automated build process for our internal testing, while additional tests are executed before releasing products to our customers. Tyler's new filer portal and Reviewer application are built to facilitate automated UI testing and automated tests are developed in conjunction with the new software being developed. Taking this approach to automated testing will dramatically improve the repeatability and timeliness of testing, which will contribute to shorter remediation cycles while delivering higher quality solutions.

### ***Initial Development & Unit Testing***

Successful testing of Tyler solutions begins in the initial design phase of new development projects. As outlined in Section 4.2 of this proposal, Tyler will utilize a tracking system to oversee this process and all enhancement projects will individually be labeled as an enhancement request (EREQ) for the eFileTexas 2.0 project. Each EREQ for eFileTexas 2.0 begins with detailed requirements gathering to ensure the expected behavior is clearly documented for the development team and in alignment with the OCA. These requirements are documented in JIRA to track actual testing results against the agreed upon expected behavior.

Throughout the coding process, the developers will test their own code against the documented expected behaviors. Following an agile, iterative development process, unit testing occurs in every sprint. Acceptance testing criteria must be met for new development to be included in a software version for system testing and ultimately deployment to client environments. Also described in Section 4.2, stakeholders from the OCA, representatives from the filing and clerk communities, EFSP/CMS vendors, and other steering committee members will be provided opportunities to review and validate behaviors through screen mockups and live demonstrations. This approach eliminates the need for substantive code changes that are the result of missed requirements or misunderstandings of expected behaviors. Once

all documented acceptance criteria have been met for the individual projects and the projects have been developed, the code is promoted for inclusion in major releases and system testing.

It is important to note in this stage of development, JIRA is utilized to track and manage the development process, including defects found in Unit Testing. Defects are logged to JIRA and resolved before the code is promoted for system testing.

It is also in this stage of the development process when automated testing scripts are authored. These automated scripts allow for a high volume of thorough tests to be completed. As Tyler's automated testing tools have advanced in capabilities, Tyler support and implementation teams now author scripts for testing based on unique business processes encountered in the live environments.

### *Systems Integration Testing*

Systems integration testing is performed for all new enhancements and features, including UI and API components. End-to-End testing includes EFSP, EFM, and CMS Integrations. Each code change will go through multiple tests, resulting in hundreds of integration tests for a single release. This ensures that the quality within Tyler's core products within the eFileTexas program are also shared and extended to our third-party partners. This results in end-to-end quality, throughout the eFileTexas program.

### *Full Regression & System Testing*

Each release of eFileTexas 2.0 will undergo thorough regression testing and comprehensive system testing by Tyler development, before advancing to User Acceptance Testing (UAT). Within Tyler development, a team of Quality Assurance specialists execute both manual and automated tests on new releases. These tests include hundreds of use cases and business scenarios that span the breadth of the eFiling ecosystem. This inventory of tests has grown and evolved over the life of the current eFileTexas implementation to ensure that state-specific business processes are included in the testing and that existing operations are not impacted by implementation of new features. These tests are updated and maintained throughout the development process and unit testing, in addition to feedback loops with Support and Implementation teams.

As regression testing occurs, each defect found is logged in JIRA, linked to affected software versions, returned to development for remediation, unit tested, and ultimately must pass regression testing for the software release to move forward to User Acceptance Testing.

Once the regression and system tests are completed, the development stakeholders and QA specialist must unanimously agree that a software version is ready to be released. Once a software version is released, it is deployed to the staging environment where User Acceptance testing can occur.

### *Issue Management and Resolution*

As issues are discovered through application testing and support processes, they are classified by contractual levels of severity and business impact. JIRA and Microsoft CRM tools track this severity level on each issue and utilize workflows based on the contracted service level agreements. Issues can be manually escalated to a higher level of severity through a change control board consisting of Tyler development, implementation, and support leadership.

To mitigate risk and maintain stability in Tyler applications, defect resolutions are primarily deployed through software releases. However, based on the criticality of defects requiring code changes to the Production environment, defect resolutions can be delivered through software patches. Code changes

applied outside of major software releases are required to pass through a change control board consisting of development, implementation, and support leadership.

#### ***Defect and Enhancement Definitions***

Defect - Any bug, error, malfunction, adverse data condition, or other performance interruption that causes the licensed software to fail to operate in conformance with Tyler's then-current published specifications, but that does not cause a complete application outage.

Documented Defect - A Defect submitted in writing with sufficient information to recreate the Defect or otherwise clearly and convincingly document or evidence its occurrence, including, but not limited to, the operating environment, data set, user, or any other such information that Tyler may reasonably request. Stakeholder or Registered User shall deliver such information to Tyler concurrently with notification to Tyler of a Defect. All reasonable efforts must be used to eliminate any non-application related issues prior to notification to Tyler of such Defect, including, but not limited to, issues related to the network, user training, extensions produced by Stakeholder or Registered User, and data problems not caused by the eFiling System.

Enhancement - Any correction, modification, customization, revision, enhancement, improvement, update, upgrade, new release or other change that is released generally by Tyler for users of the eFiling System.

#### ***Resolution Standards by Incident Levels (Issue Severity)***

##### **Incident Levels (Issue Severity)**

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

##### **Service Level Response**

- Service Level 1 Response - Tyler shall provide an initial response to Service Level 1 Defects within one (1) Business Hour of receipt of the Documented Defect. Tyler shall use commercially reasonable efforts to resolve such Documented Defects or provide a Circumvention Procedure within one (1) Business Day.
- Service Level 2 Response - Tyler shall provide an initial response to Service Level 2 Defects within four (4) Business Hours of receipt of the Documented Defect. Tyler shall use commercially reasonable efforts to resolve such Documented Defects or provide a Circumvention Procedures within five (5) Business Days.

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- Service Level 3 Response - Tyler shall provide an initial response to Service Level 3 Defects within one (1) Business Day of receipt of the Documented Defect. Tyler shall use commercially reasonable efforts to resolve such Documented Defect without the need for a Circumvention Procedure with the next published maintenance update or service pack, which shall occur at least quarterly.
  - Service Level 4 Response - Tyler shall provide an initial response to Service Level 4 Defects within two (2) Business Days. Tyler shall use commercially reasonable efforts to resolve such defect within two version release cycles and a cosmetic or other Documented Defect that does not qualify as any other Service Level Defect with a future version or release.

2. *Training. Offeror shall describe anticipated trainings and work sessions with EFSPs, CMS vendors, Forms Assembly administrators, and court staff to test the Solution.*

An important aspect of the testing activity is to ensure testing participants have adequate knowledge of the solutions they are testing. Insufficient application knowledge can lead to inaccurate defect reporting and inefficient testing which can result in negative downstream effects.

Tyler's testing methodology encompasses a wide variety of testers, inclusive of many external Tyler users such as EFPs, CMS vendors, Forms Assembly administrators, filing community members and court staff. For this reason, the various training opportunities offered by Tyler play a critical role for successful testing.

As the incumbent provider of eFileTexas the solution, many of the eFileTexas partners involved in the testing activities are acclimated to how the system functions and its capabilities. However, Tyler continues to offer training opportunities to empower these partners with information on new functionality, as it is developed and to provide opportunities for new participants the opportunity to join in the testing of the solution.

Below are some of the training opportunities that will sufficiently prepare our testing partners. Additionally, information on how the training will be delivered, tool to be leveraged, training duration and intended audience may also be found below.

- **Solution Demonstrations**
  - Demonstrations of the applications to educate stakeholders on how to use the system and empower them with information pertaining to system functionality. This affords the recipients of this training to be more comfortable with using the system and make informed decisions around business processes for their firm and/or office.
- **Subject Matter Expert Training**
  - Training that provides administrative users with additional tools they can use to configure, update and maintain the solutions within the program.
- **Clerk – End User Training**
  - Training, dedicated to clerks, that equips them with the knowledge needed to efficiently manage, review, accept and reject electronically filed records.
- **Clerk – Court Administrator Training**

- Training provided to users with additional privileges in the solution (typically supervisors), educating them on how to perform administrative actions such as managing users and unlocking envelopes.
- **Filer – End User Training**
  - Training, dedicated to filers, that equips them with the knowledge needed to file documents with the clerk’s office and serve other case parties and participants.
- **Filer – Firm Administrator Training**
  - Training provided to administrative users who manage a law firm with multiple members. This training includes items such as establishing payment accounts, adding/removing attorneys from the firm and adding service contacts.
- **Legal Professional/Registered User – re:SearchTX End User Training**
  - Training, dedicated to re:SearchTX users, that equips them with the knowledge needed to effectively utilize re:SearchTX, Tyler’s document access solution.
- **Clerk/Court – re:SearchTX End User Training**
  - Training, dedicated to re:Search users, that equips them with the knowledge needed to effectively utilize re:SearchTX, Tyler’s document access solution.
- **SelfHelp.eFileTexas Author Training**
  - Training conducted to provide forms assembly authors with knowledge on how to effectively create forms and interviews in Odyssey Guide & File (SelfHelp.eFileTexas).
- **Technical Vendor Overview Training**
  - Training provided to CMS vendors and EFSPs to provide the necessary knowledge to establish and maintain an integration into the EFM.

Training Type	Training Method(s)	Training Duration	Web Training Solution	Target Audience
<b>Solution Demonstrations</b>	Live - Web Based, In Person	30 Minutes	GoToMeeting	Clerk/Court, Legal Professionals and Other Stakeholders
<b>Subject Matter Expert Training</b>	Live - Web Based, In Person	2 Hours	GoToMeeting	Clerk - Project Team Members
<b>Clerk – End User Training</b>	Live - Web Based, Recorded - Web Based, In Person	1 Hour	GoToMeeting / GoToWebinar	Clerk - End Users
<b>Clerk - Court Administrator Training</b>	Live - Web Based, Recorded - Web Based, In Person	30 Minutes	GoToMeeting / GoToWebinar	Clerk – Supervisors
<b>Filer – End User Training</b>	Live – Web Based, Recorded – Web Based	1 Hour	GoToWebinar	Attorney, SRLs
<b>Filer – Firm Administrator Training</b>	Live – Web Based, Recorded – Web Based	30 Minutes	GoToWebinar	Office Administrators
<b>Legal Professional / Registered User – End User Training</b>	Live – Web Based, In Person	1 Hour	GoToMeeting / GoToWebinar	Legal Professionals and Registered Users

<b>Clerk/Court – re:SearchTX End User Training</b>	Live – Web Based, In Person	30 Minutes	GoToMeeting / GoToWebinar	Clerk/Court
<b>SelfHelp.eFileTexas Author Training</b>	Live – Web Based, In Person	2 Days	GoToMeeting	IT, Legal Aid, Self-Help
<b>Technical Vendor Overview Training</b>	Live – Web Based	1 Hour	GoToMeeting	CMS, EFSP Vendors

3. *UAT. Offeror shall:*

- a. describe its approach for supporting UAT.*
- b. describe its plan for developing UAT test cases for OCA, tracking expected versus actual test results, and for tracking all errors, problems, and associated resolutions.*
- c. describe Offeror approach for testing during the development of the application to verify that functionality being developed is consistent with the functionality expected by system users and ensuring proper test coverage.*
- d. include a high-level UAT testing plan aligned with Offeror’s proposed implementation plan for this project.*

User Acceptance Testing represents the final testing activity in the testing approach that requires approval, prior to promoting new features or releases to the Production environment. During this phase of testing, designated testing participants will execute end-to-end testing following the approved UAT plan. This testing will verify that all aspects of the system are working seamlessly.

Similar to the process around unit testing described above, successful UAT testing begins in the initial design phase of the new development projects. Throughout the coding process, the developers will test their own code against the documented expected behaviors. The documented tests and the testing results, as validated against the expected results of each feature, are provided to Tyler Support and Implementation team members. This group then compiles this information into end-to-end testing scripts, which are provided to UAT participants for the UAT activity. This includes the hundreds of test cases that span the entire eFiling ecosystem, some of which are unique, state-specific business process test cases.

Figure 4.4.2-1 – Sample UAT Test Plan

	A	B	C	D	E	F	G	H	I
1	Tester Name	Jennifer Smith							
2	Test Case	Cass DC Test unless explicitly stated below		Do not file in Harris County					
3	Location	Cass County District Clerk - County Court at Law							
4	Verifiable Atty	792175 - Christopher Lee Barnes		Obtain an envelope submitted prior to the upgrade with fees that can be accepted after the upgrade.					
5									
6		Log into Zeacom in PLA, Testing mode		Results	Notes	Date Tested	User Account Name		Legend
7	H5	1	Load site with http:// to ensure https:// redirect	pass			jensmith874@gmail.com		Pass
8			<a href="https://efile.txcourts.gov/ofswab">https://efile.txcourts.gov/ofswab</a>	pass			jensmith874@gmail.com		Fail
9	H5	2	Check all links on the landing page	pass			jensmith874@gmail.com		Not Testable
10	H5	3	Register a new firm	pass			jensmith874@gmail.com		
11	H5	4	Edit firm information	pass			jennifer.smith@tylertech.com		
12	H5	5	Add firm attorney	pass			jennifer.smith@tylertech.com		
13	H5	6	Add firm user (send email to new user)	pass			jennifer.smith@tylertech.com		
14	H5	7	Reset user password (change password)	pass			jensmith874@gmail.com		
15	H5	8	Verify all Help links from Action drop down are functioning correctly	pass			jensmith874@gmail.com		
16	H5	9	Verify Filings Report is functioning correctly	pass			jennifer.smith@tylertech.com		
17	H5	10	Add credit card payment account (save and validate 'verified' status)	pass			jennifer.smith@tylertech.com		
18	H5	11	Add waiver account	pass			jennifer.smith@tylertech.com		
19	H5	12	Add Service Contact to firm (Master List)	pass			jennifer.smith@tylertech.com		
20	H5	13	Register for a Self-Representative Account	pass			jenn85002@gmail.com		
21	H5	14	Reset password from landing page (Forgot Password link)	pass			jenn85002@gmail.com		
22	H5	15	Create two (2) new templates - only 1 needed for Server Certification	pass			jenn85002@gmail.com		
23	H5	16	Edit / Modify template #1	pass			jenn85002@gmail.com		
24	H5	17	Delete template #2	pass			jennifer.smith@tylertech.com		
25	H5	18	Search for a case with a Case Number (regular and compressed)	pass			jennifer.smith@tylertech.com		
26	H5	19	Search for a case with Party name	pass			jennifer.smith@tylertech.com		
27	H5	20	Bookmark a case	pass			jennifer.smith@tylertech.com		
28	H5	21	Add a new Service Contact to a case from Service contacts	pass			jennifer.smith@tylertech.com		
	H5	22	Create and Delete Draft • New Case • Complete Case Information						

As the UAT activity occurs, the results are collected and reviewed. Each issue identified through the UAT process is documented and addressed, in accordance with the appropriate defect and configuration workflow. JIRA is once again, utilized to log the details of any issues reported and to provide tracking for the actual test results. Once defect remediation is complete, the information is communicated appropriately, and the testing script is executed again for validation. This iterative process is followed until all agreed upon testing scenarios have successfully passed UAT.

As illustrated in the proposed implementation schedule (WBS 5.3.1, 5.3.2, 5.3.3, 5.3.4) each cycle will include time to perform UAT on the solution being deployed. After the solution has been deployed to the Stage environment, the expectation will be that the OCA and Tyler project teams will lead a comprehensive round of UAT that includes participants from the OCA, EFSPs, CMS vendors, Texas.gov, and local jurisdictions. A high-level outline of this plan is included below.

- (1) Tyler deploys solution to Stage environment
- (2) Tyler provides test plan and scripts to OCA
- (3) Vendors and Users execute test scripts provided by Tyler
- (4) Vendors and Users immediately report issues discovered to Tyler
- (5) Tyler addresses issues, Vendors and Users retest resolved issues
- (6) Tyler provides testing results to OCA

Figure 4.4.2-2 - UAT Activities for Cycle 1

5.3.1	▲ Cycle 1	20 days	Thu 7/29/21	Wed 8/25/21		
5.3.1.1	Cycle 1 - UAT	15 days	Thu 7/29/21	Wed 8/18/21	157	OCA SME's, Local Jurisdiction, OCA Project Team
5.3.1.2	Cycle 1 - Submit Test Results to OCA	5 days	Thu 8/19/21	Wed 8/25/21	101	Tyler Project Team
5.3.1.3	Deliverable: Cycle 1 - UAT Complete	0 days	Wed 8/25/21	Wed 8/25/21	102	

As mentioned above this process will be executed for each deployment cycle to ensure all eFileTexas 2.0 has been thoroughly tested and is ready for production deployment.

*4. The Offeror shall describe the approach to developing the following for system test & UAT:*

*a. Test Plans.*

*b. Test Scripts (including approach to test script development and requirements traceability to ensure end-to-end and comprehensive testing of entire Solution prior to go live.*

As mentioned above, Tyler leverages several quality-focused, testing methods to implement and manage a comprehensive testing strategy. Individually, each of these methods are helpful in obtaining a better understanding of the quality of the solution. When compiled together, they create a powerful perspective on the solution's quality across multiple facets. This, in turn, minimizes the risk of disrupting the existing eFileTexas service while introducing new and exciting features into the program.

Tyler's comprehensive test plan validates that the solution is in a qualitative state, prior to introducing it into a production environment for users. The holistic test plan is inclusive of individual and manual unit tests, automated tests, regression tests, integration tests, configuration validation and user acceptance tests. It also incorporates performance and load testing, to ensure the results obtained from the individualized tests are comparable when a heavy load is placed on the system.

Test cases are formulated during the development process and each development project is based on the specific requirements, as approved through the deliverable expectation documents (DEDs), ensuring adequate traceability back to the original requirements. These tests are surfaced up into individualized testing plans such as individual unit testing plan and user acceptance testing plan. The results of each of these test plans are then documented and compiled into the collective eFileTexas test plan to ensure end-to-end and comprehensive testing is performed, prior to the go-live.

Figure 4.4.2-3 - Sample Comprehensive Testing Plan

Verify Configuration			Verify Configuration Summary		
Status	Configuration Areas to Review and Verify	Review Table	Pass %	Fail %	Items Reviewed
	Click on the <b>Case Initiation</b> link to the right and indicate if the in the displaying information is correctly configured by selecting either 'Pass' or 'Fail' in the result column.	<a href="#">Case Initiation</a>	0%	0%	0
	Click on the <b>Filing Codes and Fees</b> link to the right and indicate if the displaying information is correctly configured by selecting either 'Pass' or 'Fail' in the result column.	<a href="#">Filing Codes and Fees</a>	0%	0%	0
	Click on the <b>Optional Services and Fees</b> link to the right and indicate if the displaying information is correctly configured by selecting either 'Pass' or 'Fail' in the result column.	<a href="#">Optional Services &amp; Fees</a>	0%	0%	0
Scenario Testing			Scenario Testing Summary		
Status	Scenarios to Test and Verify	Review Table	Pass %	Fail %	Items Reviewed
	Click on the <b>Initial &amp; Subsequent Filings</b> link to the right and indicate if you can create and accept an initial and/or subsequent filing for the listed cases displaying in the table by selecting either 'Pass' or 'Fail' in the result column. Please notate tested envelope numbers.	<a href="#">Initial &amp; Subsequent Filings</a>	0%	0%	0
	Click on the <b>Queues &amp; Routing Rules</b> link to the right and verify that filings are being routed to the correct queues based on routing rule conditions by selecting either 'Pass' or 'Fail' in the result column. Please notate tested envelope numbers.	<a href="#">Queues &amp; Routing Rules</a>	0%	0%	0
	Click on the <b>Stamps</b> link to the right and verify that the stamps are correctly configured and available for a reviewer by selecting 'Pass' or 'Fail' in the result column.	<a href="#">Stamps</a>	0%	0%	0

5. The Offeror shall also describe the entrance and exit criteria for each test phase (e.g., Development/Unit Test, System Test, UAT, Performance Test, etc.).

Tyler’s testing methodology utilizes a comprehensive approach, compiling results from multiple testing initiatives to ensure the highest quality of software is introduced to the eFileTexas users. This sophisticated and robust testing methodology begins with the initial design of the features and traverses throughout the development lifecycle completing when the software is made available to the end users.

Each phase throughout the testing process will be initiated by an action or activity and be concluded by the accomplishment of an acceptable testing level attained. Most of these testing activities have dependencies on other testing activities that must be completed before they can begin. The details of the entrance and exit criteria for each phase is listed below:

Release Phase	Testing Activity	Entrance Criteria	Exit Criteria
Development	<b>Unit Testing</b>	EREQ/DED approval received for the project.	Unit tests are complete and the results meet the documented acceptance criteria
	<b>Integration Testing</b>	Unit testing has been completed for one or more software modifications and the software modifications have been committed to the broader release	All integration tests are complete and the results meet the documented acceptance criteria

Release Candidate Evaluation	<b>Load Testing</b>	Integration testing has been completed and the release candidate build has been deployed to an internal QA environment	Load testing is complete and performance results align to expectations and historical norms
	<b>Regression Testing</b>	Integration testing has been completed and the release candidate build has been deployed to an internal QA environment	All regression tests are complete and the development/QA stakeholders unanimously agree that the release candidate is ready to be released.
Release Validation	<b>Systems Integration Testing</b>	Software version is released and the vendor has completed their related modifications.	The vendor's integration testing is complete and the vendor determines that the release is ready for deployment to production.
	<b>User Acceptance Testing</b>	Software version is released.	Load testing is complete and the OCA determines that the release is ready for deployment to production.

6. *The Offeror shall describe the role(s) they expect OCA or other stakeholders to perform during each test phase. In this description, Offerors should clearly identify the activities OCA or other stakeholders will be responsible for performing and avoid generic terms, such as "jointly" and "collaborate."*

Throughout the testing portion of the project, Tyler will call upon certain stakeholders to assist and participate in the testing activities. It is important to obtain testing results from various participants to ensure adequate perspectives are considered and further increase the success of the implementation. Taking this approach minimizes the risk associated with introducing new functionality to the existing and operational eFileTexas program. Below is a list of responsibilities and the respective participants that Tyler recommends be included in the testing phase of eFileTexas 2.0.

Testing Phase	Task / Responsibility	Participants
Unit Testing	Participate in documenting and approving detailed requirements and acceptance criteria for new development projects	OCA; Steering Committees
Systems Integration Testing	Execute test scripts, timely reporting any issues encountered utilizing standard issue reporting processes	EFSPs; CMS Vendors
System Testing	Consult and facilitate decisions that may be needed on configuration issues, defects, and other unplanned factors that may be surfaced during System Testing	OCA
User Acceptance Testing (UAT)	Execute test scripts provided by Tyler, timely reporting any issues encountered utilizing standard issue reporting processes	OCA, Clerks/Courts, EFSPs, CMS Vendors

## 4.5 Training

### 4.5.1 SOW Text

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

Table 29: Training Deliverable Expectations

High Level Activities	
<p>This deliverable requires completion of the following steps:</p> <ol style="list-style-type: none"> <li>1. The Contractor shall prepare a Training Plan, detailing the different stakeholder groups of trainees and the training methodology and courses to be used for each.</li> <li>2. The Contractor shall develop a detailed training curriculum, prepare training materials, and deliver training to users, technical staff, and personnel who will be responsible for training new end users and providing refresher training to other OCA and jurisdiction staff.</li> <li>3. The Contractor shall deliver training courses defined in the Training Plan and provide a Training Completion Report.</li> <li>4. The Contractor shall provide adequate end user support whether through user manuals or on-line help.</li> </ol>	
Associated Artifacts	Major Components
<p><b>Training Planning, Curriculum, and Materials</b></p>	<ol style="list-style-type: none"> <li>1) <b>Training Plan</b> - Contractor shall create a Training Plan and provide training curriculum and materials that describe the following (at a minimum):                             <ol style="list-style-type: none"> <li>a) Course list;</li> <li>b) Target audience role descriptions;</li> <li>c) Specific learning objectives for each user and support role to be used to assess users’ readiness to perform their expected roles;</li> <li>d) Lists of materials, facilities standards, equipment, user profiles, access procedures, work samples, and other items needed for each training session, including items that OCA is to furnish; and</li> <li>e) Training calendar indicating the specific attendees and locations for all user training sessions; the calendar shall also indicate any planned phases or iterations in the delivery of training.</li> </ol> </li> <li>2) <b>Training Curriculum and Materials:</b> <ol style="list-style-type: none"> <li>a) Course presentation materials / user manuals (Trainer Version);</li> </ol> </li> </ol>

High Level Activities	
	<ul style="list-style-type: none"> <li>b) Course presentation materials that are current with the configuration and production release;</li> <li>c) Recorded training videos;</li> <li>d) Student training exercises;</li> <li>e) Pre-assessment and post-assessment materials; and</li> <li>f) Training data specifications for training exercises (if applicable), including training data initialization procedures</li> </ul>
<b>Training Completion Report</b>	<p>Contractor shall deliver training courses defined in the Training Plan and provide a Training Completion Report that includes the following (at a minimum):</p> <ul style="list-style-type: none"> <li>a) Summary of all training provided including course, date and attendees;</li> <li>b) Summarized training exercise results;</li> <li>c) General observations of completed training and future training recommendations; and</li> <li>d) Satisfaction survey results (survey to be distributed to all stakeholders that participated in formal training classes)</li> </ul>
<b>Deliverables Acceptance Criteria</b>	<ul style="list-style-type: none"> <li>▪ Training Plan, Training Curriculum and Materials, and the Training Completion Plan are complete, correct and comply with the contract requirements and the Deliverables Expectation Document.</li> <li>▪ All in-scope training has been conducted.</li> </ul> <p>OCA must formally approve each document before final acceptance of the deliverable.</p>

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

<b>X</b>	(1) Offeror accepts <i>SOW Text</i> for this section as provided.
	(2) Offeror requests alternate language for this SOW section (see below).

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

#### 4.5.2 Additional Offeror Response

1. *Offeror should identify the types of training proposed, such as:*
  - A. *Initial Product Training;*
  - B. *Train the Trainer sessions;*
  - C. *Configuration Training sessions; and*
  - D. *Application and System Administration Training sessions.*

As the incumbent provider of a fully implemented electronic filing solution in 254 counties and 111 Justice of the Peace offices, the opportunity for new training is naturally limited. Throughout the initial eFileTexas implementation, Tyler provided several hundred training courses for Clerks, SRLs, Attorneys, EFSPs, CMS vendors and other legal professional community members. In addition to the in-person educational meetings and informative presentations, Tyler has provided over 700 webinar training for clerks and over 150 webinars for filers since the inception of eFileTexas. Tyler's focus for the eFileTexas 2.0 project will be implementing the additional functionality included in eFileTexas 2.0 and enhance the value offering for the user community. As a part of offering's expanded functionality, Tyler will provide training to the various stakeholder groups to ensure they are knowledgeable on all functionality available within the solution. Much like the original eFiling implementation, Tyler will utilize the following methods to train users on the expanded functionality available within eFileTexas.

- **Solution Demonstrations**
  - Demonstrations of the applications to educate stakeholders on how to use the system and empower them with information pertaining to system functionality. This affords the recipients of this training to be more comfortable with using the system and make informed decisions around business processes for their firm and/or office.
- **Trainer Training**
  - Training, dedicated to personnel identified as trainers, to educate them on the solutions. This training is very detail-oriented and not only covers how to train on the software applications, but also covers some best practices on how to deliver the training to specific audiences.
- **Subject Matter Expert Training**
  - Training that provides administrative users with additional tools they can use to configure, update and maintain the solutions within the program.
- **Configuration Spreadsheet Training**
  - Training that focuses on updating the configuration spreadsheet, with a focus on tables such as Case Category, Case Type, Filing Code and Fee Code. The configuration spreadsheet is an administrative tool used to initially configure codes in the system for a new location.
- **Clerk – End User Training**
  - Training, dedicated to clerks, that equips them with the knowledge needed to efficiently manage, review, accept and reject electronically filed records.

- **Clerk – Court Administrator Training**
  - Training provided to users with additional privileges in the solution (typically supervisors), educating them on how to perform administrative actions such as managing users and unlocking envelopes.
- **Filer – End User Training**
  - Training, dedicated to filers, that equips them with the knowledge needed to file documents with the clerk’s office and serve other case parties and participants.
- **Filer – Firm Administrator Training**
  - Training provided to administrative users who manage a law firm with multiple members. This training includes items such as establishing payment accounts, adding/removing attorneys from the firm and adding service contacts.
- **Legal Professional/Registered User – re:SearchTX End User Training**
  - Training, dedicated to re:SearchTX users, that equips them with the knowledge needed to effectively utilize re:SearchTX, Tyler’s document access solution.
- **Clerk/Court – re:SearchTX End User Training**
  - Training, dedicated to re:Search users, that equips them with the knowledge needed to effectively utilize re:SearchTX, Tyler’s document access solution.
- **SelfHelp.eFileTexas Author Training**
  - Training conducted to provide forms assembly authors with knowledge on how to effectively create forms and interviews in Odyssey Guide & File (SelfHelp.eFileTexas).
- **Technical Vendor Overview Training**
  - Training provided to CMS vendors and EFSPs to provide the necessary knowledge to establish and maintain an integration into the EFM.

2. *Offeror shall describe its approach for providing training to the roles described above, including the methodology to be used (e.g., online/virtual, classroom, etc.), and the approximate number of hours and/or days each role would be expected to spend in training.*

Training Type	Training Method(s)	Training Duration	Web Training Solution	Target Audience
<b>Solution Demonstrations</b>	Live - Web Based, In Person	30 Minutes	GoToMeeting	Clerk/Court, Legal Professionals and Other Stakeholders
<b>Trainer Training</b>	Live - Web Based, In Person	2 Hours	GoToMeeting	Personnel Identified as Trainers by OCA
<b>Subject Matter Expert Training</b>	Live - Web Based, In Person	2 Hours	GoToMeeting	Clerk - Project Team Members
<b>Configuration Spreadsheet Training</b>	Live - Web Based, In Person	1.5 Hours	GoToMeeting	Clerk - Project Team Members

<b>Clerk – End User Training</b>	Live - Web Based, Recorded - Web Based, In Person	1 Hour	GoToMeeting / GoToWebinar	Clerk - End Users
<b>Clerk - Court Administrator Training</b>	Live - Web Based, Recorded - Web Based, In Person	30 Minutes	GoToMeeting / GoToWebinar	Clerk – Supervisors
<b>Filer – End User Training</b>	Live – Web Based, Recorded – Web Based	1 Hour	GoToWebinar	Attorney, SRLs
<b>Filer – Firm Administrator Training</b>	Live – Web Based, Recorded – Web Based	30 Minutes	GoToWebinar	Office Administrators
<b>Legal Professional / Registered User – End User Training</b>	Live – Web Based, In Person	1 Hour	GoToMeeting / GoToWebinar	Legal Professionals and Registered Users
<b>Clerk/Court – re:SearchTX End User Training</b>	Live – Web Based, In Person	30 Minutes	GoToMeeting / GoToWebinar	Clerk/Court
<b>SelfHelp.eFileTexas Author Training</b>	Live – Web Based, In Person	2 Days	GoToMeeting	IT, Legal Aid, Self-Help
<b>Technical Vendor Overview Training</b>	Live – Web Based	1 Hour	GoToMeeting	CMS, EFSP Vendors

*3. Offeror shall identify their proposed method(s) of end user support materials (e.g., user manuals and/or on-line help), and the extent they will be customized for this project.*

Tyler has a well-established and proven methodology for providing support to the eFileTexas user community. Tyler has continually improved its support methods from the initial go-live in Gregg county in 2013 to ensure that users readily have access to the information they need to utilize the solution. Tyler has used a multi-faceted approach to provide end user support to the user community. The following tools are currently being utilized for supporting the system:

- **Written Documentation**
  - eFileTexas Filer User Guide
  - eFileTexas Clerk User Guide
  - re:SearchTX Quick-Reference Guide
- **Training Videos**
  - eFileTexas Filer Training Videos
  - eFileTexas Clerk Training Videos
  - eFileTexas Self Help Training Videos
  - re:SearchTX Training Videos
- **Frequently Asked Questions**
  - eFileTexas Filer FAQs
  - eFileTexas Clerk FAQs
  - eFileTexas Self Help FAQs
  - re:SearchTX FAQs
- **Self-Help Support Articles**
  - OFS Filer Self-Service Support Articles
  - OGF Filer Self-Service Support Articles

- **Live Chat**
  - Chat Support for Filers

All support documentation, training videos, FAQs, self-help support articles, and live chat are branded to support the State of Texas and its eFileTexas solution.

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

Tyler’s eFileTexas program has already been implemented in all 254 counties across the state. Although the transition to eFileTexas 2.0 will add additional functionality and, over time, will bring new users to the system, the majority of the users on the first day of eFileTexas 2.0 are likely comprised in the existing 380k+ registered users of the system today. Tyler plans to employ these training methods and utilize our training tools if the State chooses to broaden the eFileTexas program to additional courts and users. In the interim, Tyler will continue to evolve its training and support methods to ensure stakeholders are receiving the best solution experience available.

**4.6 Cutover**

**4.6.1 SOW Text**

**Table 30: Cutover Deliverable Expectations**

<b>High Level Activities</b>
<p>This deliverable requires completion of the following steps:</p> <ol style="list-style-type: none"> <li>1. Finalize and execute the set of activities identified in the Cutover Plan to cutover eFileTexas 2.0 into production, according to a phased approach whereby eFileTexas 2.0 will be deployed in groups of jurisdictions over time.               <ol style="list-style-type: none"> <li>1.1. The Contractor shall confirm the overall readiness of the hosted infrastructure and/or other third-party provided components to support the eFileTexas 2.0 application and operation.</li> </ol> </li> <li>2. Submit updated versions of previously developed plans to reflect activities to be undertaken as part of production support (see list of Associated Artifacts below).</li> <li>3. Submit the final As-Built System documentation.</li> <li>4. Submit the Cutover Completion Report.               <ol style="list-style-type: none"> <li>4.1. The Contractor shall start providing Production Services once the first site is in production.</li> <li>4.2. The Contractor shall monitor the production Solution to report on operations and performance metrics against service levels requirements defined in Attachment B: Service Level Agreement, transaction volumes, and status of application support and problem management activities.</li> </ol> </li> <li>5. Submit updated roles and responsibilities, and resumes, for key production support staff.</li> <li>6. The Contractor shall provide a real-time Service-Level Performance Dashboard for OCA to monitor performance against the Attachment B: Service Level Agreement and associated Service Level Requirements. Results may be used to:               <ol style="list-style-type: none"> <li>6.1. Create actionable strategies and remediation plans;</li> </ol> </li> </ol>

High Level Activities	
<p>6.2. Communicate and manage contract performance; and</p> <p>6.3. Enhance relationship management through open performance communication.</p> <p>7. The Contractor and OCA will agree on additional points of contact and a reporting structure and schedule to support day-to-day operations and reviews of the Contractor’s performance. These may include technical, financial, and service level requirements reviews as well as the resolution of other operational issues.</p> <p>8. Reporting structures will be documented and maintained by the Contractor in an online repository accessible to OCA’s management team. A regular meeting schedule will be established for the reporting levels outlined in this document. The Contractor must provide processes and procedures acceptable to OCA that can be used to manage day-to-day relationships in meeting Service Level Requirements and shall include:</p> <p>8.1. Escalation;</p> <p>8.2. Contract change management; and</p> <p>8.3. Performance reporting (e.g., Service Level Requirements (SLRs), project status, outstanding service request status) as outlined in Attachment B: Service Level Agreement.</p> <p>9. The Contractor shall provide tools and training methods for clerks, filers and general users as eFileTexas 2.0 is updated and new users are onboarded.</p>	
Associated Artifacts	Major Components
<p><b>Updated Versions of Implementation Plans for Production Support</b></p>	<p>Contractor shall provide updated versions of the following previously developed plans (or subplans) to ensure plans accurately describe the production environment and services to be provided upon cutover (note, each plan should include the minimum set of components defined within this SOW and as agreed to with OCA during the implementation project).</p> <ul style="list-style-type: none"> <li>a. Risk and Issue Management Plans (note associated Logs would carry over from the project to production)</li> <li>b. Integrated Change Management Plan</li> <li>c. Deployment Plan</li> <li>d. Configuration Management Plan</li> <li>e. Stakeholder Outreach and Communication Plan</li> <li>f. Security Plan</li> <li>g. Disaster Recovery and Business Continuity Plan</li> <li>h. Infrastructure Services Plan</li> <li>i. Help Desk Support Plan</li> <li>j. Test Plan</li> <li>k. Training Planning, Curriculum, and Materials</li> </ul>

High Level Activities	
<b>As-Built System Documentation</b>	<p>Contractor shall provide documentation specific to the OCA’s eFileTexas 2.0 implementation. Contractor shall provide final as-built configuration documentation of each of the delivered environments, including the results of smoke tests of those environments.</p> <p>Contractor shall provide technical documentation of sufficient depth and clarity to enable OCA, EFSP, CMS vendor, and court technical personnel to understand the underlying structure and function of system components to troubleshoot the application interfaces (including platform, network, and security interfaces), to perform all global and jurisdiction administration and operation duties, and to plan for potential future integration with other applications.</p>
<b>Cutover Completion Report</b>	<p>Contractor shall provide a Cutover Completion Report that validates the full transition of eFileTexas 2.0 into production.</p> <p>The Contractor shall update the preliminary draft of the Cutover Plan created as part of the Execute phase with the finalized set of activities to cutover eFileTexas 2.0 into Production, according to a phased approach whereby eFileTexas 2.0 will be deployed in groups of jurisdictions over time.</p> <p>The final Cutover Plan shall include a detailed schedule that clearly defines key milestones, deliverables, tasks and responsibilities. Using the Cutover Plan as the guide, the Contractor will lead the deployment/cutover effort.</p>
<b>Deliverables Acceptance Criteria</b>	<ul style="list-style-type: none"> <li>▪ System Documentation and the Cutover Completion Report are complete, correct, and comply with the contract requirements and the Deliverables Expectation Document.</li> <li>▪ eFileTexas 2.0 is successfully in production.</li> </ul> <p>OCA must formally approve each document before final acceptance of the deliverable.</p>

**Offeror Response (select one by entering an ‘X’ in the appropriate box):**

	(1) Offeror accepts <i>SOW Text</i> for this section as provided.
<b>X</b>	(2) Offeror requests alternate language for this SOW section (see below).

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

High Level Activities
This deliverable requires completion of the following steps:

1. Finalize and execute the set of activities identified in the Cutover Plan to cutover eFileTexas 2.0 into production, according to a phased approach whereby eFileTexas 2.0 will be deployed in groups of jurisdictions over time.
  - 1.1. The Contractor shall confirm the overall readiness of the hosted infrastructure and/or other third-party provided components to support the eFileTexas 2.0 application and operation.
2. Submit updated versions of previously developed plans to reflect activities to be undertaken as part of production support (see list of Associated Artifacts below).
3. Submit the final As-Built System documentation.
4. Submit the Cutover Completion Report.
  - 4.1. The Contractor shall start providing Production Services once the first site is in production.
  - 4.2. The Contractor shall monitor the production Solution to report on operations and performance metrics against service levels requirements defined in the existing eFileTexas agreement between Tyler and the OCA.
  - ~~4.2.4.3. The Contractor shall monitor the production Solution to report on operations and performance metrics against service levels requirements defined in Attachment B: Service Level Agreement, transaction volumes, and status of application support and problem management activities.~~
5. Submit updated roles and responsibilities, and resumes, for key production support staff.
6. The Contractor shall provide a real-time Service-Level Performance Dashboard for OCA to monitor performance against the existing service level requirements as defined in the existing eFileTexas agreement between Tyler and the OCA. Results may be used to:
- ~~6. The Contractor shall provide a real-time Service-Level Performance Dashboard for OCA to monitor performance against the Attachment B: Service Level Agreement and associated Service Level Requirements. Results may be used to:~~
  - 6.1. Create actionable strategies and remediation plans;
  - 6.2. Communicate and manage contract performance; and
  - 6.3. Enhance relationship management through open performance communication.
7. The Contractor and OCA will agree on additional points of contact and a reporting structure and schedule to support day-to-day operations and reviews of the Contractor's performance. These may include technical, financial, and service level requirements reviews as well as the resolution of other operational issues.
8. Reporting structures will be documented and maintained by the Contractor in an online repository accessible to OCA's management team. A regular meeting schedule will be established for the reporting levels outlined in this document. The Contractor must provide processes and procedures acceptable to OCA that can be used to manage day-to-day relationships in meeting Service Level Requirements and shall include:

- 8.1. Escalation;
- 8.2. Contract change management; and
- ~~8.3. Performance reporting (e.g., Service Level Requirements (SLRs), project status, outstanding service request status) as defined within the existing eFileTexas agreement between Tyler and the OCA.~~
- ~~8.3. Performance reporting (e.g., Service Level Requirements (SLRs), project status, outstanding service request status) as outlined in Attachment B: Service Level Agreement.~~
- 9. The Contractor shall provide tools and training methods for clerks, filers and general users as eFileTexas 2.0 is updated and new users are onboarded.

Associated Artifacts	Major Components
<p><b>Updated Versions of Implementation Plans for Production Support</b></p>	<p>Contractor shall provide updated versions of the following previously developed plans (or subplans) to ensure plans accurately describe the production environment and services to be provided upon cutover (note, each plan should include the minimum set of components defined within this SOW and as agreed to with OCA during the implementation project).</p> <ul style="list-style-type: none"> <li>I. Risk and Issue Management Plans (note associated Logs would carry over from the project to production)</li> <li>m. Integrated Change Management Plan</li> <li>n. Deployment Plan</li> <li>o. Configuration Management Plan</li> <li>p. Stakeholder Outreach and Communication Plan</li> <li>q. Security Plan</li> <li>r. Disaster Recovery and Business Continuity Plan</li> <li>s. Infrastructure Services Plan</li> <li>t. Help Desk Support Plan</li> <li>u. Test Plan</li> <li>v. Training Planning, Curriculum, and Materials</li> </ul>
<p><b>As-Built System Documentation</b></p>	<p>Contractor shall provide documentation specific to the OCA’s eFileTexas 2.0 implementation. Contractor shall provide final as-built configuration documentation of each of the delivered</p>

	<p>environments, including the results of smoke tests of those environments.</p> <p>Contractor shall provide technical documentation of sufficient depth and clarity to enable OCA, EFSP, CMS vendor, and court technical personnel to understand the underlying structure and function of system components to troubleshoot the application interfaces (including platform, network, and security interfaces), to perform all global and jurisdiction administration and operation duties, and to plan for potential future integration with other applications.</p>
<b>Cutover Completion Report</b>	<p>Contractor shall provide a Cutover Completion Report that validates the full transition of eFileTexas 2.0 into production.</p> <p>The Contractor shall update the preliminary draft of the Cutover Plan created as part of the Execute phase with the finalized set of activities to cutover eFileTexas 2.0 into Production, according to a phased approach whereby eFileTexas 2.0 will be deployed in groups of jurisdictions over time.</p> <p>The final Cutover Plan shall include a detailed schedule that clearly defines key milestones, deliverables, tasks and responsibilities. Using the Cutover Plan as the guide, the Contractor will lead the deployment/cutover effort.</p>
<b>Deliverables Acceptance Criteria</b>	<ul style="list-style-type: none"><li>▪ System Documentation and the Cutover Completion Report are complete, correct, and comply with the contract requirements and the Deliverables Expectation Document.</li><li>▪ eFileTexas 2.0 is successfully in production.</li></ul> <p>OCA must formally approve each document before final acceptance of the deliverable.</p>

#### 4.6.2 Additional Offeror Response

1. *Offeror shall describe the Production Release approach for production cutover and activities required to begin production use of eFileTexas 2.0. The approach shall include the following, at a minimum:*
  - a. *Key activities.*
  - b. *Critical success factors.*
  - c. *Roles and responsibilities (for both the Offeror and OCA).*
  - d. *Acceptance criteria.*

Tyler is in a unique position in responding to this proposal, as the incumbent eFileTexas vendor. With the absence of a new statewide implementation, comprised of several solutions and the associated conversion/migration activities, the transition to eFileTexas 2.0 with Tyler will be more thoughtful towards the functionality enhancements needed to improve the user experience for all project stakeholders. With this understanding, there are still important activities which should be considered when enhancing eFileTexas. Tyler's approach to developing new features within our existing offering will be to employ our proven methods of incorporating our partners into the design process to ensure alignment.

#### **Key Activities**

There will be several key activities that need to occur to ensure a successful migration to eFileTexas 2.0 and improve the user experience for all stakeholders. Many of these steps are outlined in the various sections of this proposal. Those activities documented in the Analysis and Design section of this proposal are to ensure Tyler receives stakeholder buy-in on the new functionality that will be built and introduced with eFileTexas 2.0. This alignment provides the highest probability of success when introducing new functionality to production users.

Once the new functionality has been built, solution validation must occur before the functionality can be introduced into the eFileTexas production environment. This important step of the process is thoroughly outlined in the Testing section of this proposal. Additionally, users must be trained on the new functionality to ensure they are adequately prepared to consume it, once it is available in production. This user empowerment activity is outlined in the Training portion of the proposal.

Once the previous steps have been successfully completed, the new eFileTexas 2.0 functionality can be introduced to the eFileTexas production environment. Tyler's decision to leverage a commercial GovCloud data center for hosting eFileTexas 2.0 will provide many benefits, some which will be illustrated here. The new hosting model, along with the adoption of cloud-native technologies / methods and other aspects of Tyler's vision will allow Tyler to minimize downtime during the deployment of software updates.

#### **Critical Success Factors**

There are several critical success factors that must be considered when implementing a project of this size and magnitude. If these critical success factors are proactively addressed as part of the project planning and implementation project activities, this project will ultimately be a success.

**Governance** – Establishing and maintaining a strong governance committee is one of the most important aspects of a large project. It is important to have a governance body that is blended with participants of varying expertise and backgrounds so that you may obtain a comprehensive perspective. These team

members may include technical participants, business participants, court / clerk personnel, legal professional community members and Tyler senior management. This combination will allow key project stakeholders to receive adequate direction and guidance throughout the engagement, while removing any obstacles that may impede positive progress.

User Involvement and Participation – Ensuring that the correct participants are identified and selected to participate in the eFileTexas 2.0 project team will be an important step in the engagement. This team will be leveraged to assist in the design activities of new functionality to ensure it meets the needs of the State, as well as the spirit of the RFO. We envision this group including court / clerk users, filing community members, OCA and other key team members who will participate in the eFileTexas 2.0 steering committee, functionality testing and solution training activities. It will be important that they remain engaged throughout the project, as needed to fulfill their respective responsibilities. Throughout the engagement, other initiatives and/or situations may surface and attempt to captivate the attention of these critical team members. It will be vital that their respective leadership support these participants and their dedication towards the eFileTexas 2.0 project.

Testing – The testing activity is one of the most important aspects of this proposal, due to the currently live eFileTexas program. It is important that new functionality introduced to the eFileTexas production environment does not disrupt the existing service. With electronic filing mandated across the state, legal professionals and clerks alike rely heavily on the eFileTexas program to conduct business and continue their operations. Proactively testing functionality in a staging environment, prior to deploying it to the eFileTexas production environment, will provide us with visibility into any issues that may result from introducing this new functionality. This, in turn, will afford Tyler and the OCA to preemptively resolve issues and ensure the Texas legal system remains operational throughout the project’s duration.

Training – Users of eFileTexas must be adequately prepared for the consumption of the new functionality Tyler will introduce with the eFileTexas 2.0 project. These users, inclusive of filing community members and court clerk reviewers, must be properly trained on the new functionality, before its utilization. Sufficient training will not only empower these users with the information needed to leverage the functionality and obtain the best user experience possible, but it will also prevent costly support incidents from occurring after the new functionality is made available.

Communication – Communication ensures that all project stakeholders are informed of any changes, prior to the changes taking effect. As we experienced with the initial implementation of eFileTexas, there will always be users of the system who are unaware of the changes the State is implementing. Despite the numerous communication mediums leveraged and the frequency of these communications, the fact remains that not all stakeholders will be informed of the changes. We anticipate that this situation will be similar when transitioning to eFileTexas 2.0 and it will be important that Tyler, and the OCA, be as transparent and proactively communicate to the various user communities. This will reduce the number of individuals who will be caught unaware of any changes that are made to the system.

Post-Project Support – Ongoing support for the filing community and clerk community is important to maintaining an effectively run program. Every year, new users come on-board, whether it be new clerks or newly licensed attorneys and legal professionals. Tyler and project team members must work together to provide ongoing training and support for these new users to ensure the program remains optimally operational into perpetuity.

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## Roles and Responsibilities

The OCA and Tyler will own responsibilities throughout this cutover phase. It will be imperative that both work closely together to ensure the transition from eFileTexas to eFileTexas 2.0 is as smooth as possible.

OCA Responsibilities – The OCA must assist in the implementation of eFileTexas 2.0, well before the actual software deployments to upgrade the eFileTexas program. The OCA must assist Tyler in establishing, and participating in, a proper governance board to provide direction and guidance to the project team. The OCA must also assist Tyler in selecting the appropriate project team, to assist in activities such as the steering committee meetings and testing events. As mentioned before, user engagement and participation are important to the project's success and Tyler will look to the OCA to help keep project team members engaged and focused on the eFileTexas 2.0 project. Tyler will also look to the OCA for assistance on setting a date for our third-party partners to migrate to the ECF 5 integration methods. Although integration partners may continue to operate with the current ECF 4.01 integration methods, their users will not be able to take advantage of the majority of functionality introduced with eFileTexas 2.0 until these solutions providers transition to ECF 5. Finally, Tyler will look to the OCA for confirmation and approval for outbound messaging to help with the communication to various impacted stakeholders.

Tyler Responsibilities – Tyler will assist the OCA with the formulation and operation of the governance board, as well the project team. Tyler will conduct and lead various project activities including steering committee meetings, testing activities and training events. Tyler will be responsible for establishing a communication plan to educate users and partners on the system changes and the potential impact they may have on the user experience. Tyler will also be responsible for carrying out the communication plan by conducting training sessions, vendor integration webinars and migration workshops, composing/sending messages and creating, making available training documentation. Finally, Tyler will be responsible for performing the deployment activities necessary to upgrade eFileTexas to eFileTexas 2.0

Acceptance Criteria – Once the new functionality has been deployed to the eFileTexas production environment, Tyler will monitor the environment and continue to support the eFileTexas users. Any issues that surface regarding the new functionality will be brought to the attention of the OCA and a strategy will be established to rectify those issues in a timely manner. Tyler will help the OCA in evaluating the new functionality's availability and its adoption across the eFileTexas user base so that the OCA may validate the requirements were met and desired results were achieved.

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

Tyler will provide various documentation throughout the engagement. Although the documentation may be intended for a certain audience, all authorized stakeholders involved in the project will be welcome to review them. For example, technical specifications are intended for eFileTexas integration partners, but clerks and court staff would be welcome to view them, if desired. Some of the documentation that Tyler will deliver throughout the project is listed below.

Release Notes Index – A summary listing of the feature enhancements in a specific release. The release notes index will provide a short description of each enhancement, a brief overview of the enhancement, a link to the project specific documentation and any associated project numbers for tracking purposes.

Recipients of this documentation may use it to gain a better appreciation for what feature enhancements will be included in an upcoming release.

Figure 4.6.2-1 –Release Notes Index

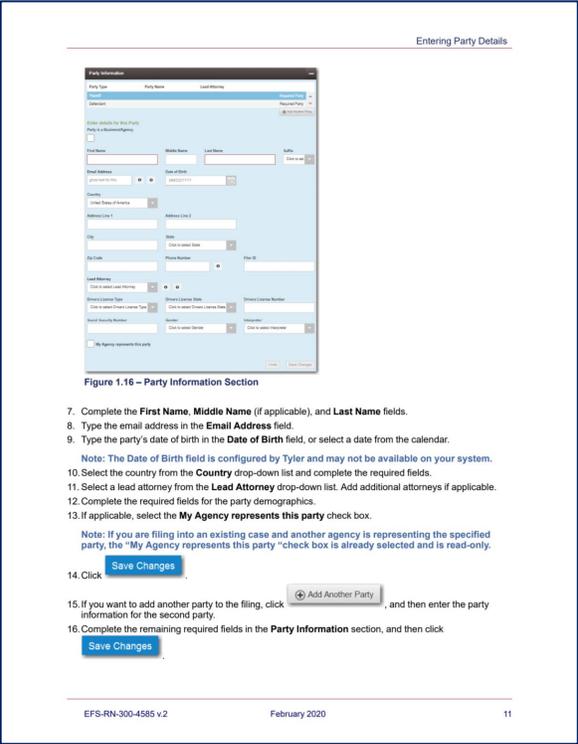
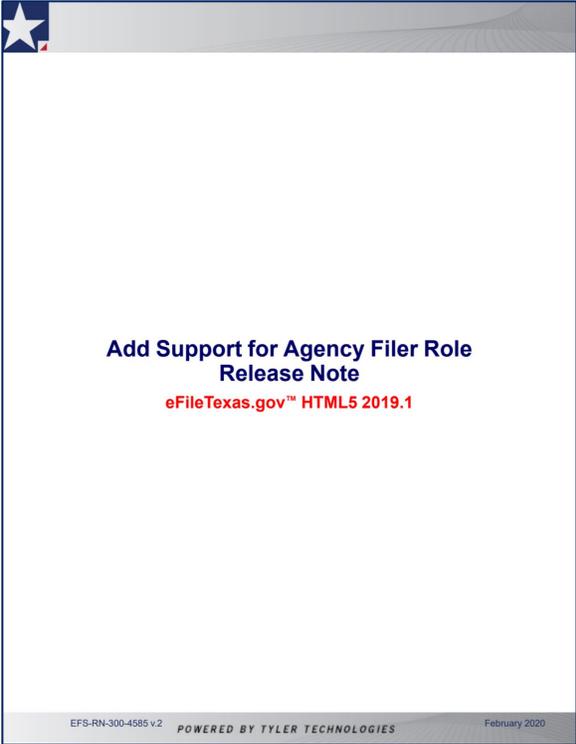


**eFileTexas.gov™ HTML5 Release Notes Index for 2019.1**

New Functionality			
Description	Overview	Release Notes	JIRA Number
Add Support for Date of Death	Business Case Definition: Filers need the ability to provide the Date of Death for a party when it is required by the court. The system has been updated, and the <b>Date of Death</b> field has been added to the <b>Party Information</b> section.	<a href="#">See Documentation</a>	EFM-3142
Add Support for Will Filed Date	Business Case Definition: Filers need the ability to provide the Will Filed Date when the court requires it. The system has been updated, and a new <b>Will Filed</b> field has been added to the <b>Case Information</b> section.	<a href="#">See Documentation</a>	EFM-3164
Add Ad Damnum Field to Case Information Section	Business Case Definition: Filers need the ability to see the Ad Damnum (damages) amount on cases they are filing into so they can make accurate selections for their filings. The system has been updated, and the Ad Damnum amount is now displayed in the <b>Case Information</b> section for existing cases, when configured.	<a href="#">See Documentation</a>	EFM-3268
Add Ability to Display Redaction Fees	Business Case Definition: Filers need to know the amount they will be charged for a transactional redaction on a specified envelope. The system has been updated, and the transactional redaction fee is displayed in the <b>Fees</b> section of a case filing.	<a href="#">See Documentation</a>	EFM-3120
Add Ability to Prevent Use of Waivers with Transactional Redaction	Business Case Definition: Filers should be prevented from using waivers for transactional redaction fees. The system has been updated, and filers will not be able to use waivers when they are using the Redaction feature in their case filings.	<a href="#">See Documentation</a>	EFM-3497
Add Support for Agency Filer Role	Business Case Definition: Filers and Firm Administrators who are affiliated with an agency should see the word "Agency" instead of the word "Firm" when they are working with case filings in the case management system. The system has been updated, and various pages and drop-down menus have been changed for users who are logged on as Agency filers. Agency filers will now see only the word "Agency" when they work with case filings. <b>Note: This feature is configured by Tyler.</b>	<a href="#">See Documentation</a>	EFM-3347 EFM-3349

Release Notes – Tyler will deliver release notes for each functional enhancement included in a release. These notes allow recipients to read through the details of specific feature enhancements to better understand the impact of that feature. In the release notes, recipients will find the publishing history, details around the functionality being provided, screenshots of the functionality being added and any configuration requirements.

Figure 4.6.2-2 – Release Notes



Enhancement Request – Tyler will create enhancement documents which outline the enhancements being created. These documents will identify the purpose and justification of the project, the conditions of satisfaction, what is excluded from scope and the scope assumptions of the project.

Figure 4.6.2-3 – Enhancement Request

Tyler Technologies  
Bulk eFiling  
EREQ: 38

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### 1 Scope - Bulk eFiling

1.1 Requirement ID & Resource Matrix

Tracking Numbers
• EREQ: 38

1.2 Project Purpose & Justification

Electronic Filers frequently have a need to submit documents into multiple cases at the same time and are looking for a simplified way to do so without having to create their envelopes individually. Bulk filing is designed to provide electronic filers with the ability to submit documents (single or multiple) into more than one case during a single filing session.

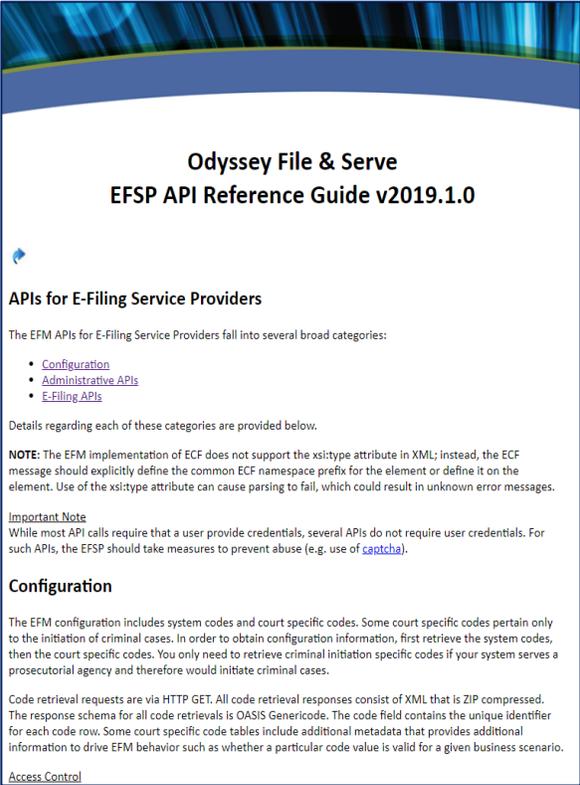
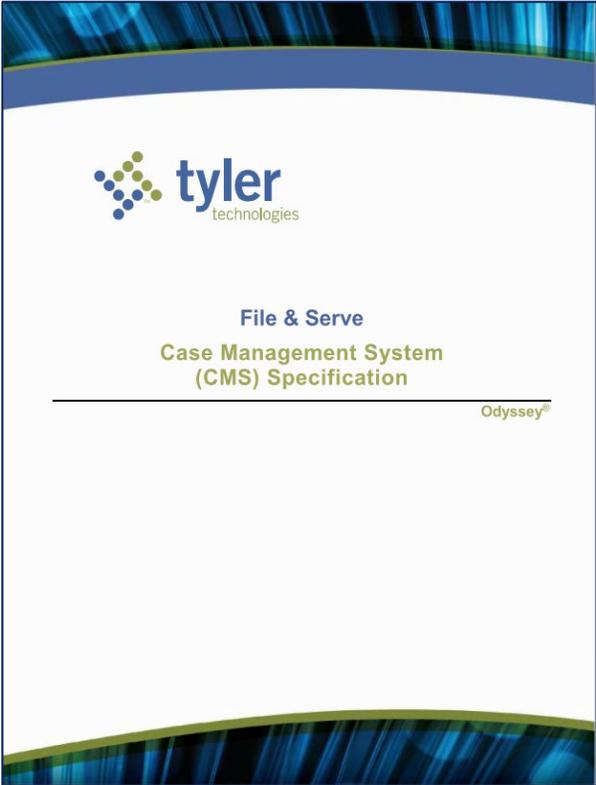
1.3 Conditions of Satisfaction

- 1.3.1 Ability for (but not require) the filer to initiate two (2) or more new cases during a bulk filing and to be guided through the initial filing process on each new case
- 1.3.2 Ability for (but not require) a filer to find and select two (2) or more cases to file into as a part of their bulk filing
- 1.3.3 Ability for a filer to add the same filing code(s) to all selected cases with one action
- 1.3.4 Ability for a filer to attach the same document to their bulk filings on each of the selected cases with one action
- 1.3.5 Ability for the filer to select one or more filing codes for each selected case
- 1.3.6 Ability for the filer to attach a document to each of the filings individually for each selected case
- 1.3.7 Ability for the filer to identify the filing attorney for each selected case
- 1.3.8 Ability for the filer to see the fees related to each case before submission
- 1.3.9 Ability for the filer to agree to the appropriate submission agreements for each case before submission
- 1.3.10 Ability for the filer to see a summary of their filings on each case before submission
- 1.3.11 Ability for the filer to submit all envelopes in a bulk filing with a single submit button
- 1.3.12 Ability for the filer to receive a single submission notification for all the envelopes in a bulk filing
- 1.3.13 Ability to limit the number of envelopes that can be included in a bulk filing
- 1.3.14 Ability to charge the filer in a tiered model based on the number of envelopes in a bulk filing
- 1.3.15

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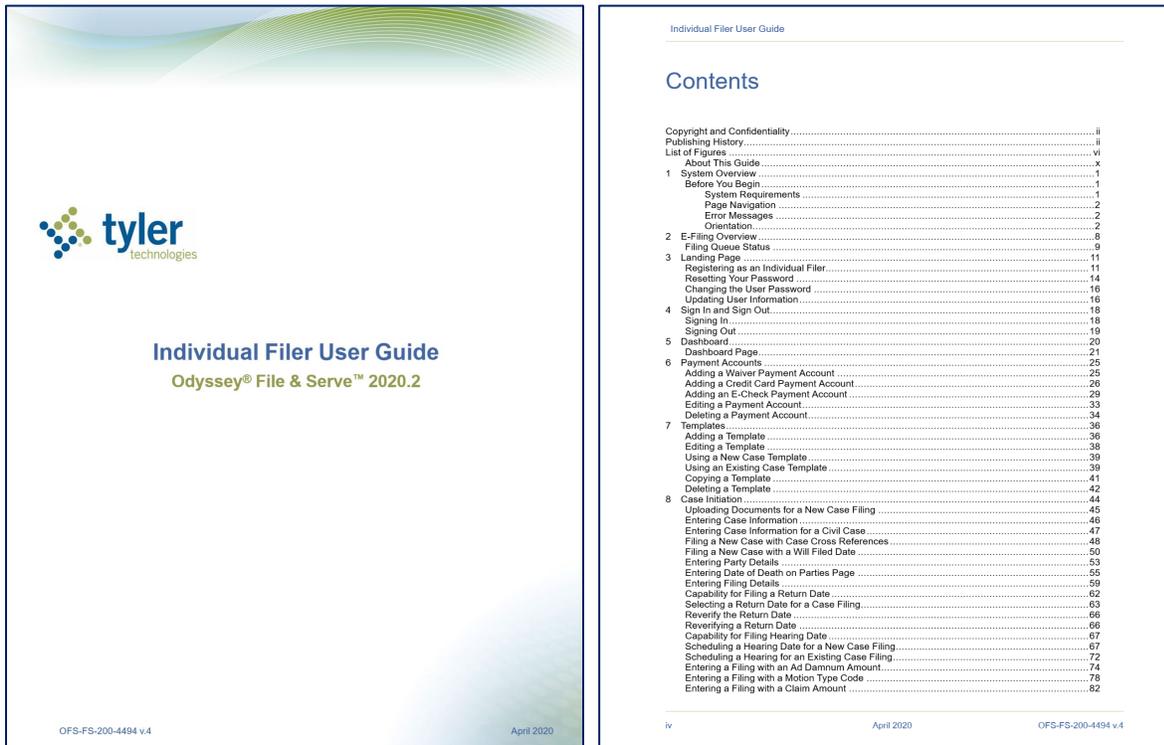
Technical Documentation – Tyler will create complete technical documentation that outlines both conceptual and mechanical aspects of integrating to the Tyler system, complete with one-click hyperlinks to flow diagrams and the underlying technical artifacts such as schema documents and xml messages samples.

Figure 4.6.2-4 – Technical Documentation



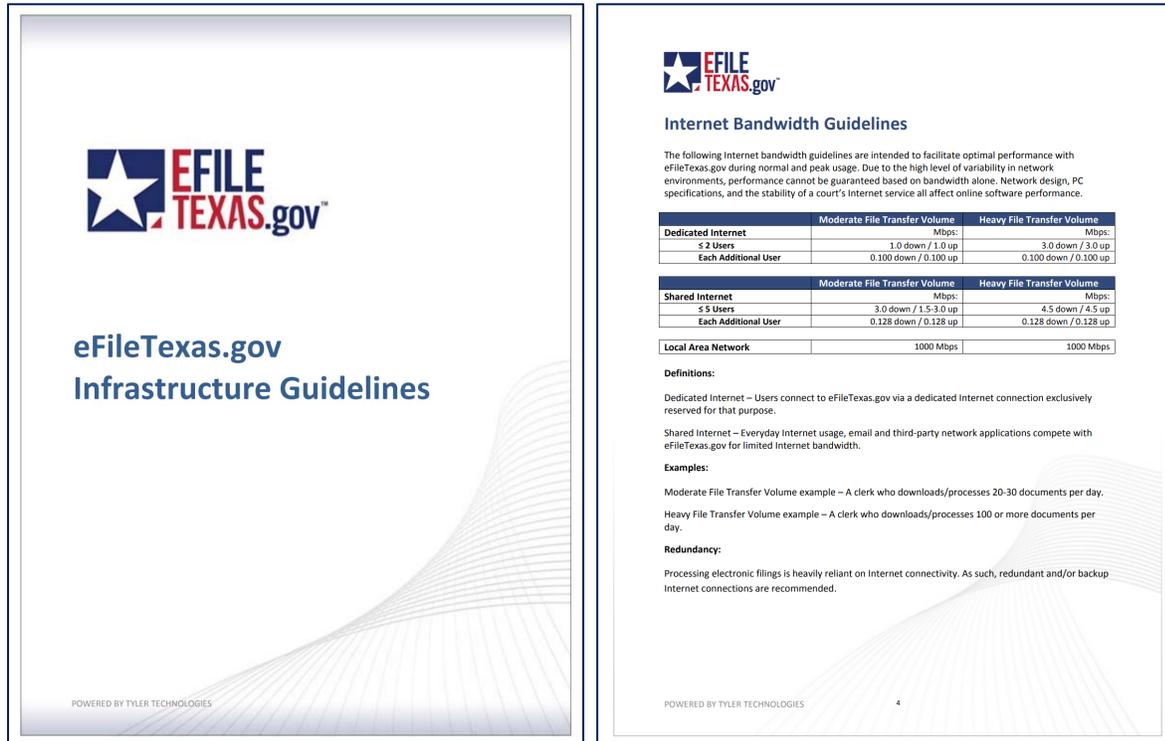
User Guides – Tyler will create user guides which provide written instructions for how to utilize Tyler’s solutions. These documents will help individuals in using the solutions and act as an educational artifact for new users getting acclimated to the system. These user guides are updated with each software release.

Figure 4.6.2-5 – User Guides



**Infrastructure Guideline** – Tyler will provide an infrastructure guideline which will offer users with a list of technical and infrastructure requirements needed to successfully operate eFileTexas. This includes internet bandwidth guidelines, hardware requirements, web-browser guidelines and more.

Figure 4.6.2-6 – Infrastructure Guidelines



3. Describe how as-built documents will be updated over time. Describe the approach to provide ongoing training for clerks, filers and general users as eFileTexas 2.0 is updated and new users are onboarded.

Tyler has a documentation department that is focused on providing quality documentation on Tyler's products and offerings. This team is responsible for producing, and making available, the release notes and release notes index for each software release. Any new software enhancement that Tyler commits to developing for the State of Texas, above the RFO requirements, will include an enhancement request document to ensure alignment before development begins. Additionally, training materials are also updated to reflect any functional changes to the system that may be the result of a solution enhancements. As the EFM continues to evolve and add additional functionality, the technical documentation will be updated accordingly.

Tyler offers ongoing, online web-based training as part of our support services. For Filers, Tyler provides this web-based training via web conferencing through an on-line meeting tool (GoToMeeting). These are frequently scheduled instructor-led training sessions that users can sign-up for in advance. Users are encouraged to sign up for web training at their convenience by going to our training web site. The frequency of these training sessions will vary, depending on the stage in the implementation. During the rollout phase, Tyler usually schedules 2-6 sessions per week, and will modify the frequency depending on

the number of users who sign-up. For the initial eFileTexas project, additional sessions were offered and Tyler gradually reduced the number of scheduled web trainings to fit the needs of the filing community.

Tyler provides the initial training to all designated court personnel and system administrators and offers continuous training of new personnel via our web training classes. Training consists of live, online instruction in line with the scope and duration that enables the court personnel to confidently operate all functions of the systems. System Administrator Training includes advanced level access instructions, administrator privileges and rights inclusive of all administrator functionality.

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

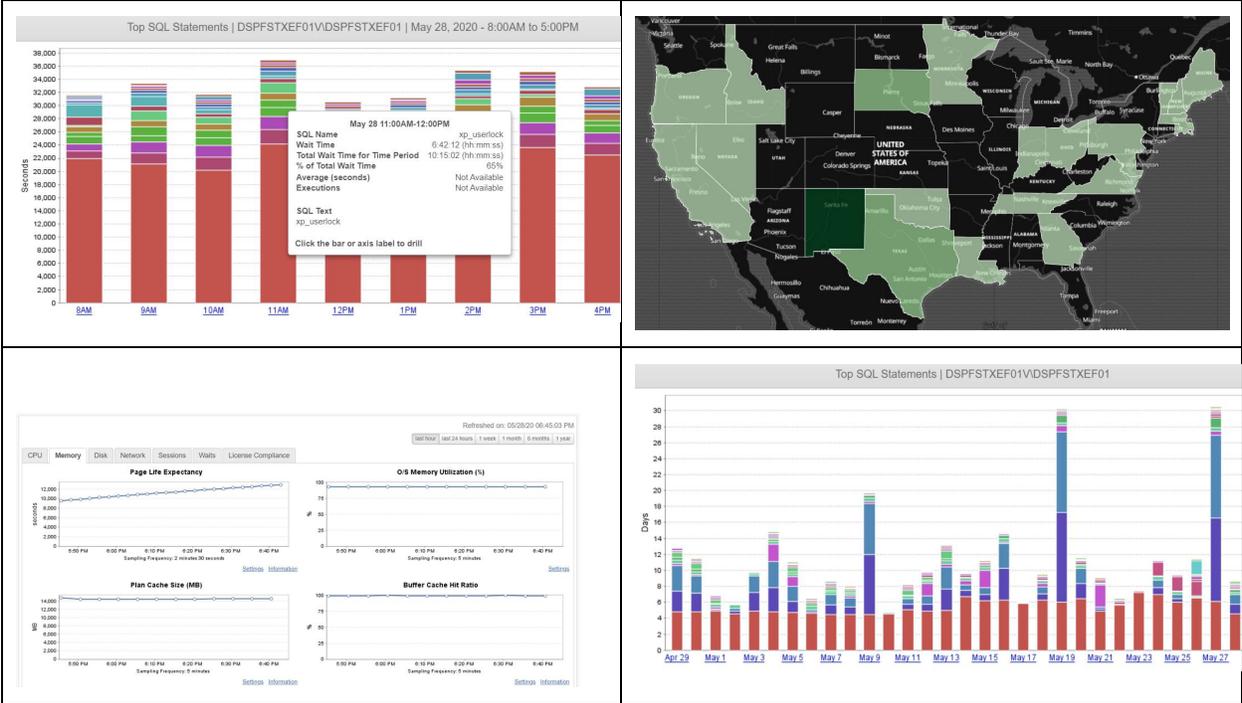
Tyler performs provisioning of services for all Tyler solution components, including infrastructure, servers, software, and configuration. With eFileTexas today, Tyler performs monitoring with a collection of commercial, open-source, and internally developed tools to ensure the eFileTexas program remains operational at peak performance levels to deliver the best user experience possible. Tyler currently hosts and operates the eFileTexas program out of our own datacenter but will soon transition to a commercial GovCloud hosting solution. As Tyler migrates to this new model, we will increasingly leverage native GovCloud tooling (such as CloudWatch, X-Ray) and/or GovCloud partner tools, like DataDog, where appropriate. Tyler's current and future hosting plans are outlined below:

Component	Current State	Future State
<b>EFM</b>	Live in Production, hosted in Tyler's datacenter	Migrate to GovCloud prior to eFileTexas 2.0
<b>EFSP (Filing Portal)</b>	Provisioned in AWS GovCloud	Migrate user community to this solution in 2020
<b>Clerk Review Tool</b>	In development	Scheduled to go live prior to eFileTexas 2.0
<b>Guide &amp; File</b>	Live in Production, hosted in Tyler's datacenter	Migrate to GovCloud prior to eFileTexas 2.0
<b>re:Search</b>	Live in production, hosted in GovCloud	N/A
<b>Redaction</b>	In production, hosed in Tyler's datacenter	Migrate to GovCloud prior to eFileTexas 2.0
<b>Self-Serve Administration</b>	Initial capabilities under development	To be completed and implemented prior to eFileTexas 2.0

SLAs are currently monitored and managed, both proactively and reactively, by a collection of teams that cover the various workloads that flow through the eFileTexas program:

- **Court Support** – This team monitors clerk reviewer error queues, including proactive interventions thereby providing a “no-touch” solution for the OCA and the courts, even when exceptions occur outside of Tyler’s control (such as vendor integrations, payment processing). This team also tracks numerous metrics inclusive of incoming incidents, incident medium used, duration to resolution and outstanding incidents to ensure SLAs are met.
- **Filer Support** – This team monitors support contacts and interactions. This includes metrics like incoming contacts, contact medium used, telephone hold times, chat durations and duration to resolution. This filing community focused team uses these metrics to identify whether a systemic problem exists and to ensure SLAs are accomplished.
- **EFM Support** – This integrations-centric team monitors errors with third-party partners like EFSPs, Clerk CMS vendors and local IT staff of homegrown Clerk CMS to ensure SLAs are achieved and to address any technological communication issues in a timely manner. This team tracks metrics such as incoming support incidents, incident medium used, duration to resolution, outstanding incidents and more to ensure an optimal support experience for our partners.
- **Performance and Availability** – This team monitors and manages the solution’s performance and operational effectiveness in real-time. They use tools to watch metrics such as job processing queue depths, database job durations, server memory utilizations and real-time blocking and errors to rapidly identify any issues which may result in performance degradation or impact system availability.

Figure 4.6.2-6 – Systems Monitoring



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

Tyler produces a combination of major and minor software releases to deliver functionality enhancements and defect resolutions. Although major releases contain defect fixes, they are Tyler's primary vehicle to introduce new product functionality and enhancements to the user community. Minor releases are generally more focused on resolving outstanding product defects and improving the quality of the solution.

Historically, Tyler has operated on a release cadence comprised of 2-3 major releases per year, with minor releases in between and developed based upon need. With micro-applications like the Tyler EFSP, Guide & File (forms assembly tool), and the new Reviewer application, we expect to release more frequently and deliver smaller sets of changes on a monthly cadence. The EFM contains many of the core functions of the eFileTexas program, including workflow, document processing and systems integrations and will be the catalyst to adopting Tyler's micro-services approach. Tyler will continue to operate on a 2-3 major release a year cadence until the EFM architecture is updated to deliver these micro-services more frequently.

In this proposal, Tyler has proposed a multi-phased project approach to the transition, with each phase backed by corresponding releases of the components as necessary to deliver the software enhancements. Although Tyler has provided a recommended approach to developing and implementing the new features required to migrate to eFileTexas 2.0, Tyler will work closely with the OCA to incorporate any adjustments needed in terms of the enhancements' prioritization. Tyler expects to partner closely with the OCA to collaborate further upon this plan, to ensure the success of eFileTexas 2.0. In addition, many objectives within the eFileTexas vision RFO align to Tyler's future vision and we welcome our home state's ongoing participation within our broader product steering committees.

While we have successfully established a robust vendor integration ecosystem, Tyler proposes enhancing this partnership channel through the creation of a vendor pilot program. This pilot program would be comprised of 1-2 EFSPs, 1-2 CMS vendors and Tyler, and would provide a "first look" at our ECF 5 implementation and other eFileTexas 2.0 enhancements. This vendor pilot program will serve as a feedback loop before making the functionality available to the full vendor community. Furthermore, we propose that those same pilot partners be the first to adopt the ECF 5 model in production and serve as a proving ground before full vendor adoption.

Tyler's development strategy is heavily rooted in our users' perspectives and their opinions are incorporated into our design philosophy when creating new product functionality. Taking this approach not only permits Tyler to develop the functionality that is meaningful to the user community, but also ensures the users are cognizant of the changes being made to the system and can assist with the outreach activities. Tyler's method for implementing new product features and functionality encompasses much more than just the solutioning component and customer/partner alignment. It also considers informative communication and messaging, educational training and empowerment, risk mitigation and support with regards to deployment and implementation. These various aspects of delivering our software improvements within the eFileTexas program are thoroughly articulated in the various sections of this

proposal. Each of the strategies discussed pertain to our software delivery approach and will be applied here as part of the eFileTexas 2.0 program.

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

Prior to 2020, Tyler had already begun a concerted investment to modernize components across our solution portfolio, with the objective of pushing the envelope on a variety of fronts. Tyler has established a thoughtful strategy which will enhance the eFileTexas program in numerous ways. Tyler’s strategy contains objectives inclusive of using the latest technologies, hosting in the world’s leading cloud service provider, improving user accessibility, boosting solution performance, quality enhancement through increased automated testing, solution localization (offering multi-language support) and empowering our administrative users with self-service administration tools.

In 2020, many of these goals will come to fruition with the availability of our new EFSP micro-application for filers. In 2021, this objective attainment will be replicated as we implement our new Reviewer micro-application for clerks. In 2022 and beyond, we will begin to see similar dividends within the EFM’s core services, establishing an incredible foundation that can be built on, and further enhanced, for years to come. Tyler values its standing as the nation’s premier e-Filing provider and is committed to the ongoing investment required to serve the needs of the courts, filers, partners, and associated organizations.

**4.7 Closeout**

**4.7.1 SOW Text**

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

See Table 31: Closeout Deliverable Expectations

<b>High Level Activities</b>
<p>This deliverable requires completion of the following steps:</p> <ol style="list-style-type: none"> <li>1. Complete project closeout and production readiness activities. Ensure the following have been addressed: <ol style="list-style-type: none"> <li>1.1. OCA has accepted all deliverables.</li> <li>1.2. All outstanding issues and defects have been resolved or addressed.</li> <li>1.3. The Contractor project team has documented the lessons learned or best practices identified during the project.</li> <li>1.4. All project artifacts have been placed in the project repository.</li> <li>1.5. Transition has been completed to operations, maintenance, and/or business.</li> <li>1.6. Transition Open Defects to Support – any noted deficiencies will be enumerated and provide the action plan and timing for correction of each such deficiency.</li> <li>1.7. Contractor shall transfer knowledge to eFileTexas 2.0 support staff.</li> </ol> </li> </ol>

High Level Activities	
<p>2. Participate in lessons learned activities led by OCA</p> <p>2.1. The purpose of lessons learned activities is to help the project team and stakeholders share knowledge gained from the project to facilitate repeating desirable outcomes and improvements for future projects and avoiding undesirable outcomes.</p> <p>3. Business Outcomes Review</p> <p>3.1. Contractor shall provide data needed for the Post Implementation Review of Business Outcomes (PIRBO) (in accordance with the Texas Project Delivery Framework and Quality Assurance Team (QAT) requirements) as part of support and maintenance. The PIRBO review will align project activities and business outcome measures. Therefore, data provided will measure progress towards achieving business outcomes defined in the Business Case (will be provided to Contractor by OCA for reference).</p>	
Associated Artifacts	Major Components
<p><b>Project Closeout</b></p>	<p>1) <b>Project Closeout Report</b> - The Contractor Project Manager provides a final report outlining the project’s accomplishments and against the project scope, budget, schedule, and SLAs.</p> <p>2) <b>Monthly Production Support Templates</b> – Contractor shall create initial templates of monthly production support reports for OCA to verify that the reports are sufficient and accurate before the project closes; Reports shall include the following:</p> <ul style="list-style-type: none"> <li>a) Maintenance services completed per period.</li> <li>b) Maintenance services in progress per period.</li> <li>c) Maintenance services planned next period.</li> <li>d) Upcoming planned release schedule (minimum of 6 months forward looking).</li> <li>e) Risks and issues.</li> </ul>
<p><b>Deliverables Acceptance Criteria</b></p>	<ul style="list-style-type: none"> <li>▪ All project closeout activities have been completed in compliance with the contract and the Deliverables Expectation Document.</li> <li>▪ Note: OCA must formally approve each document before final acceptance of the deliverable.</li> </ul>

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

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

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

#### 4.7.2 Additional Offeror Response

1. *Offeror shall describe the process to define metrics to measure business outcomes and validate achievement.*

Tyler measures achievement by accomplishing project objectives within or ahead of the allotted time permitted and within or under budget. For example, Tyler partnered with the OCA to implement the original eFileTexas project beginning in early 2013. The State of Texas issued a mandate, which included a graduated schedule based on county population – beginning with the most populous counties. The schedule stair-stepped down every 6 months until it reached the 136 counties with a population of 10,000 or less. For this specific engagement, Tyler was able to implement all 254 counties in record time, completing the task in 2 years, 2 months and 20 days. This incredible feat was performed 9.5 months ahead of schedule, was considered a resounding success and a model for other states across the country.

As the State of Texas looks to migrate to eFileTexas 2.0, Tyler hopes to be selected as the partner to help the OCA repeat this success. Since many of the performance metrics are already in place for eFileTexas, Tyler will continue to measure the success with these performance metrics. These metrics span several areas, including business, application/solution and support performance. An example of a few of these support metrics include the following:

##### Business Performance Metrics

- Maintain or reduce the return for correction rates
- Maintain or increase the clerk response times
- Maintain or reduce the daily outstanding envelopes

##### Application / Solution Performance Metrics

- Maintain or increase the solution availability
- Maintain or increase the registered users
- Maintain or increase the integrations with CMS solutions

##### Support Performance Metrics

- Maintain or reduce the average wait times for support calls
- Maintain or reduce the incident resolution time
- Maintain or reduce the root cause analysis reporting for issues

For the eFileTexas 2.0 project, Tyler will measure success by enhancing the program to include the requirements of the eFileTexas 2.0 RFO and completing the work before the end of the first year of the project (before September 2023). Tyler will also measure success by limiting the number of defects while implementing the significant number of requirements included in the eFileTexas 2.0 project. Many of these projects are considerable enhancements that will bring tremendous value to several stakeholders.

Developing and implementing this functionality while minimizing the number of issues identified will accelerate the availability and reduce the work effort.

Finally, Tyler will measure success by the implementation of new engagements on or ahead of schedule. If the Supreme Court of Texas decides to mandate additional case types or courts, such as Justice of the Peace Courts or Juvenile cases, Tyler will use our proven method in a similar manner that was done with the initial eFileTexas implementation. These project enhancements and potential new courts/case types will bring significant value to the eFileTexas user community and position the State of Texas in a favorable spot for years to come.

*2. Offeror shall describe approach to perform knowledge transfer to eFileTexas 2.0 support staff.*

The Tyler support team has supported the eFiling project in the State of Texas since 2013, when the first county (Gregg) was transitioned to support. The robust staff that supports this large project is familiar with the State's existing third-party solution vendors, the filing community, the clerks and their unique business processes. Tyler's approach to performing a knowledge transfer vests in Tyler's transition to support process that was implemented for each county office. This process affords project team members to share their experience and the intimate knowledge on the courts they've partnered with throughout the engagement, with Tyler's support staff. The high-level summary of this process is below:

When a county office is brought live with eFileTexas, the Tyler Professional Services team will meet with the Tyler Support Team internally to discuss the client's readiness to be transitioned to Support. Tyler wants to ensure the client is in a healthy state after the implementation and is ready to transition to the Support and Client Success teams as their main point of contact. All team members must unanimously agree to proceed with the transition. After the decision is made to transition the client to support, a meeting is coordinated with the clients and the multiple Tyler teams. Tyler will conduct two to three meetings with the client to discuss the Support processes, inclusive of Client Success, Filer Support and Court Support and the support services they render. These sessions will include, but are not limited to, discussing how to properly submit a support incident ticket, the resources available to a client (such as the Tyler Client Portal) and how Filer Support can also be a resource to them. We will also discuss the process in which Tyler monitors all clients for errors and how this may impact the customer.

The purpose of these meetings is to begin establishing a relationship between the Support and Client Success teams, with the client, as they transfer from the project team, they are comfortable with. The Tyler teams must perform an internal knowledge transfer, ahead of the transition to support meetings, for this transition to be a success. During the internal knowledge transfer, project team members share any unique business processes and configuration that the local jurisdiction may have implemented. They also walk through any outstanding issues, including their history and status. to ensure the Support team taking ownership of the account is adequately prepared to carry them through to a successful completion.

Tyler will use this same transition to support process when implementing new product functionality, as well as new engagements. This includes those Justice of the Peace offices that wish to implement eFileTexas by local decision and those that may be directed to do so by the Supreme Court of Texas. For the functionality, the team will execute this procedure at the state level but be mindful of local variances that may exist from configuration anomalies.

## 5. Production Services

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

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

Tyler is currently providing production services to the OCA, as the current eFileTexas solution provider. The production services provided have resulted in an efficiently run and well managed program. Tyler’s collaborative partnership with the OCA has allowed to overcome the various challenges that have surfaced throughout the project engagement. For this reason, Tyler proposes providing the same eFileTexas production services that are being provided today, for the eFileTexas 2.0 program.

### 5.1 eFileTexas 2.0 Production Services

#### 5.1.1 SOW Text

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

**Offeror Response (select one by entering an ‘X’ in the appropriate box):**

- |          |   |
|----------|---|
| <b>X</b> | (1) Offeror accepts SOW Text for this section as provided.                |
|          | (2) Offeror requests alternate language for this SOW section (see below). |

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

# 6. Service Level Agreement and Service Level Requirements

## 6.1 Service Level Agreement

<b>Offeror Response (select one by entering an 'X' in the appropriate box):</b>	
<input type="checkbox"/>	(1) Offeror accepts Service Level Agreement language provided in Attachment B: Service Level Agreement.
<input checked="" type="checkbox"/>	(2) Offeror requests alternate language for the Service Level Agreement (see below).
<b>Offeror's alternate SLA language (provide if option 2 selected above):</b>	
Whereas Tyler and the State are currently parties to an agreement for eFiling, which includes a previously negotiated Service Level Agreement, Tyler requests that the parties utilize the same SLA for this Agreement, the terms of which are hereby incorporated by reference.	

## 6.2 Service Level Requirements

<b>Offeror Response (select one by entering an 'X' in the appropriate box):</b>	
<input type="checkbox"/>	(1) Offeror accepts Service Level Requirements provided in Attachment B.1: Service Level Requirements.
<input checked="" type="checkbox"/>	(2) Offeror requests alternate language in the table below.
<b>Offeror's alternate language in Table 32 below (provide if option 2 selected above):</b>	
Whereas Tyler and the State are currently parties to an agreement for eFiling, which includes a previously negotiated Service Level Agreement, Tyler requests that the parties utilize the same SLA for this Agreement, the terms of which are hereby incorporated by reference.	

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

Table 32: Service Level Requirements Exceptions

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

## 7. Pricing

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

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

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

**Table 34: Cost Workbook Structure**

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

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

Per RFO Section 2.2 Offer Format, Tyler has provided Attachment D: Cost Workbook as a separate PDF file on our USB flash drive. If the OCA desires, Tyler can provide an Excel version of Attachment D upon request.

## 8. Exceptions and Assumptions

### 8.1 Exceptions to the Statement of Work and Service Level Agreement

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

Tyler understands the desire for the OCA to limit exceptions to the contractual language. We have made exceptions only in the areas where such changes may not be applicable given our current project or where we are concerned that the changes in approach would negatively impact the partnership which has worked successfully to this point.

#### 5.8 Master Services Agreement

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

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

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

<b>Offeror Response (select one by entering an ‘X’ in the appropriate box):</b>	
<b>X</b>	(1) Offeror accepts the Non-Negotiable Provisions. This box must be checked in order to be qualified to make this Offer.
	(2) Offeror accepts all provisions of the MSA provided in Attachment: Master Services Agreement.
<b>X</b>	(3) Offeror requests alternate language to the negotiable provision of the MSA in the table below and will separately provide a “red line” version of the MSA identifying the provisions taken exception to and providing alternate language where applicable.
<b>Offeror’s alternate language in the table below (provide if option 3 selected above):</b>	
Tyler acknowledges that certain provisions have been identified as ‘non-negotiable.’ In all contract negotiations, Tyler expect the parties to negotiate in good faith to a final, mutually agreeable contract. Here, certain ‘non-negotiable’ provisions include drafting that requires clarification and/or discussion. Tyler has made a good-faith effort to flag those provisions in the assumptions Table 35 below, and	

expects to work with the OCA to draft agreed-upon clarifying language to reflect the resolution of these ambiguities during the contract negotiation process.

**Table 33: Exceptions to Master Services Agreement**

#	Exception	Proposed Alternative Language (Explanation)
N/A	Negotiations	Tyler submits these exceptions and redlines based on our standard contract and practices. We commit to conducting negotiations in good faith towards finalizing the terms of the MSA.
3.1(b)	Extension	Tyler does not agree that any extensions shall be at the unilateral election of the Client. Any extensions will be as mutually agreed to by the parties.
4.1(b)	Project Schedule	Tyler does not agree that failure to obtain OCA’s acceptance of the proposed baseline schedule within sixty (60) days of the Effective Date constitutes a material breach of the agreement.
4.1(c)	Performance	Tyler cannot guarantee that there will be no disruption to other OCA work during any implementation. Tyler can only agree to use commercially reasonable methods to avoid such disruptions.
4.1(d)	Notification by Contractor Project Manager	Tyler does not agree to provide “immediate” notice of any problems, nor agree to provide a corrective action plan in connection with any problem.
4.1(e)	Failure to Perform	Tyler does not agree that any determination of an implementation failure event shall be made in OCA’s sole discretion. Tyler will not agree to the additional remedies provided by this section.
4.2(d)	Notification by Contractor Program Manager	Tyler will agree to provide reasonable notice of any problems that arise, but Tyler does not agree to provide a corrective action plan for any such problem.
4.3	Termination Assistance Services	Tyler does not agree to provide termination assistance services at no additional cost. In the event of an “Assistance Event” the parties will negotiate a mutually agreeable scope of disentanglement services and Tyler will provide such services on a time and materials basis, in addition to any other amounts owed to Tyler under the Agreement.
4.4	Change Request	OCA must pay Tyler for any additions to the scope of the project, whether reasonably related to scope of the RFO or not.

4.5	Acceptance	Tyler will agree a single stage acceptance process based on the products meeting the proposed functionality. The acceptance process will be set forth in the SOW.
4.6	Knowledge Transfer	Section 4.6(a) is inapplicable to Tyler as Tyler is the current provider of the services. Tyler does not agree to provide any subsequent contractor with the information set forth in Section 4.6(b). Any termination services shall be mutually agreed upon in advance, and payable on a time and materials basis. Tyler will not agree to provide any subsequent contractor with Tyler's confidential or proprietary information, whether related to the Services or otherwise.
5.1	Performance and Service Levels	Tyler will provide any reporting on compliance that it believes necessary in its reasonable discretion.
5.2(a)	Deliverable Fees	Tyler does not agree to reimbursement of deliverable fees under any circumstances.
5.2(b)	Service Level Reimbursements	Service Level Reimbursements shall be OCA's sole and exclusive remedy for any failure to meet the service levels.
5.3	Service Problems Analysis	Client and Tyler shall cooperate to identify and resolve any issues that arise during implementation or thereafter, in accordance with the SOW and any maintenance and support plans. Client's sole remedy for any costs/delays associated with any problems related to implementation services under the agreement is the reperformance of those services in an acceptable manner.
5.4	Satisfaction Surveys	Tyler does not agree that Client may conduct customer satisfaction surveys at Tyler's expense. Tyler does not agree to conduct any surveys on its own. Accordingly, these provisions have been removed in their entirety.
6.3	Contractor Personnel Are Not State or OCA Employees	Tyler does not agree to the proposed division of liability for Contractor personnel. If the acts or omissions were required by OCA, Tyler cannot be held liable.
6.4(b)	Responsibility for Contractor Personnel	Tyler does not agree to the proposed division of liability for Contractor personnel. If any acts or omissions were required by OCA, Tyler and Tyler Personnel should not be liable.
6.5(b)	Background/ Criminal History Investigations.	Tyler does not conduct substance abuse screenings, unless explicitly required by applicable law.

7.1	Reports, Data Correction, Re-Performance	Tyler will provide any reports that are mutually agreed upon in the SOW and/or SLA but does not agree to provide ad hoc reporting at OCA's discretion. Tyler will not agree to maintain back-up documentation as part of the Services. Tyler will not agree to System Documentation meetings.
7.1(c)	Correction of Errors	Tyler will correct errors in a commercially reasonable time after discovery thereof.
7.3	Internal Controls	Tyler will develop any internal controls that it reasonably believes, in its sole discretion, will assist with performing its obligations under the Agreement in accordance with the standards and obligations set forth therein.
7.4	Change Control	Tyler does not agree that OCA may withhold approval of any changes in its sole discretion. OCA's approval must not be unreasonably withheld. Tyler may make any changes to the software and or services that it reasonably believes necessary, provided such changes do not result in the software or services materially deviating from the agreed upon functionality set forth in Tyler's proposal.
7.6	Technology Evolution	Tyler may make any updates and or changes to the Tyler software under the Agreement that it believes will be beneficial to the product or services, provided such updates do not result in the software or services materially deviating from the agreed upon functionality set forth in Tyler's proposal. Tyler does not agree that it otherwise has any obligation to update the software or propose changes to improve the software.
8.1	Savings Clause	Tyler's failure to perform under the agreement shall be fully excused to the extent caused by Client's failure to perform its obligations under the agreement.
9.1	Audit Rights	Any and all audits shall be upon reasonable notice to Tyler, not less than 7 business days, and all costs associated therewith shall be born solely by Client.
9.1(c)	Cybersecurity Audits	Tyler does not agree that any third party retained by Client is entitled to perform onsite audits of IT security controls. Our SaaS Services are audited at least yearly in accordance with the AICPA's Statement on Standards for Attestation Engagements ("SSAE") No. 18. We have attained, and will maintain, SOC 1 and SOC 2 compliance, or its equivalent, for so long as you are timely paying for SaaS Services. Upon execution of a mutually agreeable Non-Disclosure Agreement ("NDA"), we will provide you with a summary of our compliance report(s) or its equivalent. Any additional audits require mutual agreement.

9.1(d)	Financial Audits	This section is duplicative and has therefore been removed.
9.1(e)(ii) )	Audits by Governmental Authorities	Tyler does not agree that Client is entitled to conduct security vulnerability assessments or penetration testing of Tyler's systems. Tyler only agrees to audits that are required by applicable laws.
9.1(g)	Contractor Internal Audit	Tyler will perform any internal audits that it determines, in its sole discretion, are necessary to ensure its proper performance under the Agreement.
9.2	Benchmarking	Tyler does not agree that Client is entitled to engage in any benchmarking process that requires cooperation or participation by Tyler or provides any third party with access to Tyler's confidential information. Tyler does not agree to any changes to the agreement as a result of the benchmarking process. Any such process shall be for Client's informational purposes only, and shall be conducted at Client's own expense.
10	Fees	Tyler's proposal contains estimates of the amount of services and associated expenses needed, based on the size and scope of the Client's project. Unless expressly noted otherwise, Tyler's proposal does not include any taxes. Tyler will not agree to a "most favored nations" clause. Nor will it modify any pricing based on a competitive price assessment.
10.3	Extraordinary Events	Tyler does not agree that an "extraordinary event" shall entitle Client to request a change to pricing. This section has been removed.
10.4	Pricing Commitment	Tyler does not agree to "most favored nation" clauses. Tyler does not agree to reevaluate pricing during the term of the Agreement.
13	License Grant and Materials	Tyler does not agree to work for hire provisions. We retain all intellectual property and confidentiality rights in and to our proprietary and/or confidential information and deliverables, whether developed under the terms of this contract or otherwise. Tyler grants only those licenses set forth explicitly in the Agreement. Tyler has an Escrow Agreement in place with Iron Mountain. In the event the Client desires to enroll as a beneficiary, the Client will pay the annual beneficiary fee. Release of the Tyler source code will be in accordance with such Escrow Agreement. Source code escrow is only available to clients purchasing perpetual licenses.
15	Insurance and Risk of Loss	Tyler's insurance program is established at a corporate level and is not subject to change on an individual client basis. Tyler will obtain insurance from a provider rated A-; VII or better by A.M. Best. Tyler's insurance company uses a standard Acord form that provides that notice will be given according to the terms of the insurance policy.

		Tyler will agree to provide notice of cancellation directly to the Client. The Client can be listed as an additional insured on Tyler's Commercial General Liability ("CGL") policy and Auto Liability policy, which automatically adds the Client as an additional insured on Tyler's Excess/Umbrella Liability policy. Tyler's carrier has issued a blanket endorsement whereby any customer named as additional insured in the contract is afforded such status under the policy. Tyler's carrier does not issue separate additional insured endorsement specific to the Client. Copies of Tyler's insurance policies are not available unless a claim is disputed or denied. Tyler will provide an insurance certificate documenting Tyler's coverage. The certificate will list the Client as a certificate holder after the contract is signed by both parties and an insurable interest exists.
20.2	RFO Errors and/or Omission	Neither party should be permitted to take advantage of errors or omissions in the agreement or RFO.
20.6	Binding Nature and Assignment	Neither party may assign the contract without the prior written consent of the other party, except that Tyler may, without the prior written consent of the client, assign the contract in its entirety to the surviving entity of any merger or consolidation or to any purchaser of substantially all of Tyler's assets.
20.16	Publicity	Tyler reserves the right to use OCA's name in any representative client lists.
20.27	Guarantee	Tyler does not agree to execute the Guaranty absent further negotiation of the Agreement.
Ex. 1	Definitions	Tyler reserves the right to negotiate the applicable definitions for the Agreement to equitably assign rights and responsibilities between the parties. Tyler has modified those definitions that it believes necessary to address at this time, but reserves the right to negotiate these definitions further.

Tyler has provided a "red line" version of the MSA as a separate PDF file on our USB flash drive.

## 8.2 General Assumptions and Dependencies

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

Table 35: General Assumptions and Dependencies

# Title	Assumptions and/or Dependencies
12.2(b) Safeguarding e-Filing Data	<p>Assumption: the OCA will make available its data security program requirements for review by Contractor during the negotiation process.</p> <p>Assumption: the OCA will agree to specify with Contractor regarding which industry security standards will be determined to be a point of reference for this contract.</p> <p>Assumption: the OCA will identify and make available the specific OCA Standards it considers applicable to this Agreement for Contractor’s review during the negotiation process.</p>
12.4(a) Security Incident Procedures	<p>Assumption: we assume the first sentence related to “or should have known of” is a drafting error given the syntax and context.</p> <p>Assumption: We assume that the OCA means that if the Security Incident occurs at the OCA or on OCA infrastructure or services, the OCA will handle the investigation or remediation, but if the Security Incident occurs on Tyler infrastructure or services, Tyler will handle the investigation and remediation, with cooperation by each party as applicable. In either case, Tyler assumes that the OCA means that the investigation and/or remediation shall proceed in the reasonable discretion of the OCA or Tyler, as applicable, consistent with internal processes and procedures and in all events consistent with industry best practices. We further assume that, to the extent a Security Incident occurs under the OCA, the obligations set forth here will be mutual, as from the OCA to Tyler.</p>
12.4(b) Security Incident Involving e-Filing Personal Data	<p>Assumption: Based on the drafting, we assume these notices or related services are to be provided by Contractor if this provision applies, and that any one or all of the services are only required if called for under applicable “legal obligations.” To the extent Contractor’s legal obligations include provision of “any other services” that OCA deems necessary, Contractor assumes the OCA will identify what types of services that includes during negotiations, and that in all events those services will be reasonably tailored.</p>
12.4(c) Third Party Notices	<p>Assumption: Contractor assumes these limitations only apply to a Security Incident at the OCA, and are not intended to limit Contractor’s obligations or decision to notify law enforcement or other reasonably necessary third parties in the event of a Security Incident involving Tyler infrastructure or services.</p>

12.4(d) Ongoing Obligations	Assumption: Contractor assumes this preservation obligation extends for the Audit Period.
16.1 General Indemnity by Contractor	<p>Assumption: Contractor assumes that this is intended to be a standard indemnification provision, such that it applies to third-party actions, claims, demands or suits.</p> <p>Assumption: Again, Contractor assumes this is intended to be a standard indemnification provision, such that if a conflict exists, OCA would not be seeking indemnification from Tyler, as Tyler would not, in that instance, be standing in the OCA's shoes.</p>
16.2 Intellectual Property Indemnity	<p>Assumption: Contractor assumes that this is intended to be a standard indemnification provision, such that it applies to third-party actions, claims, demands or suits.</p> <p>Assumption: We assume that each item from the list included in the paragraph is intended to apply to the extent it relates to an IP liability issue, given the distinction between this subsection and subsection 16.1.</p> <p>Assumption: Again, Contractor assumes this is intended to be a standard indemnification provision, such that if a conflict exists, OCA would not be seeking indemnification from Tyler, as Tyler would not, in that instance, be standing in the OCA's shoes.</p>
16.5 Infringement and Mitigation	Assumption: Contractor assumes the reference to Section 16.1 is in error, and is intended to cross-reference Section 16.2, the IP Indemnity.
16.6(c) Procedure Where No Notice of Election Is Delivered	Assumption: Contractor assumes that OCA intended to clarify that this reimbursement obligation applies to the extent it is determined that Contractor's indemnification obligation applied, despite Contractor's decision or failure to deliver a Notice of Election.
17.1 General Intent	Assumption: Contractor assumes that the word "direct" was unintentionally omitted between "actual" and "damages" in this sentence.
17.3(b) Liability Cap	Assumption: Contractor does not understand the intent or function of the carve-out for claims made to insurance policies provided at the end of the paragraph, and worries that, under at least one reading, it would disincentivize a party from submitting an insurance claim. Contractor assumes that the OCA does not intend to create such a disincentive and that the limitation of liability on its own should stand.
17.3(d) Acknowledged Direct Damages	Assumption: Contractor assumes that these will only be considered direct damages to the extent consistent with Texas case law.

17.3(d)(i)	Assumption: Contractor assumes the OCA means for these costs and expenses to apply to the extent the Party bearing them caused the lost, stealing or damage.
17.3.(d)(iii)	Assumption: Contractor assumes that OCA intends for these costs and expenses to only include those that could be reasonably foreseeable to Contractor at the time of contracting, consistent with Texas case law.
17.3(d)(v)	Assumption: Contractor assumes that OCA did not intend to list this here, given that these items are classified as “not damages” in subsection 17.3(c).
17.3(d)(vi)	Assumption: Again, Contractor assumes that OCA intends to apply with applicable Texas case law, such that these “damages” would only apply if they were reasonably foreseeable by Contractor at the time of contracting.
17.4 Waiver of Liability Cap	Assumption: Contractor does not understand this provision as written and assumes that the OCA will explain and address clarifications during the contract negotiation process.
19.6 Step-In Rights	<p>Assumption: Contractor assumes that OCA will work with Contractor to identify the “critical aspect of . . . operations” that would fall within this section.</p> <p>Assumption: Contractor repeats its assumptions relating to damages/limitation of liability.</p> <p>Assumption: Contractor assumes this is not intended to create a right to double recovery for OCA.</p>
19.10 Effect of Termination	Assumption: Contractor assumes that the parties will clarify the termination section during contract negotiations to address payment obligations in recognition of Contractor’s performance up until the effective date of termination.

## 9. HUB Subcontracting Plan

The work to be performed under this contract will be highly specific related to Tyler's proprietary solutions. As such, there are no subcontractors that can provide the work required for this project. Tyler is able to fulfill the entire contract scope of work with our own equipment, supplies, materials and/or employees.

Tyler's completed HUB Sub-contracting Plan (HSP) is included on the following pages.



# HUB Subcontracting Plan (HSP) QUICK CHECKLIST

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

- ▶ **If you will be awarding all of the subcontracting work you have to offer under the contract to only Texas certified HUB vendors, complete:**
  - Section 1 - Respondent and Requisition Information
  - Section 2 a. - Yes, I will be subcontracting portions of the contract.
  - Section 2 b. - List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors.
  - Section 2 c. - Yes
  - Section 4 - Affirmation
  - GFE Method A (Attachment A) - Complete an Attachment A for each of the subcontracting opportunities you listed in Section 2 b.
- ▶ **If you will be subcontracting any portion of the contract to Texas certified HUB vendors and Non-HUB vendors, and the aggregate percentage of all the subcontracting work you will be awarding to the Texas certified HUB vendors with which you do not have a continuous contract\* in place for more than five (5) years meets or exceeds the HUB Goal the contracting agency identified in the "Agency Special Instructions/Additional Requirements", complete:**
  - Section 1 - Respondent and Requisition Information
  - Section 2 a. - Yes, I will be subcontracting portions of the contract.
  - Section 2 b. - List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors and Non-HUB vendors.
  - Section 2 c. - No
  - Section 2 d. - Yes
  - Section 4 - Affirmation
  - GFE Method A (Attachment A) - Complete an Attachment A for each of the subcontracting opportunities you listed in Section 2 b.
- ▶ **If you will be subcontracting any portion of the contract to Texas certified HUB vendors and Non-HUB vendors or only to Non-HUB vendors, and the aggregate percentage of all the subcontracting work you will be awarding to the Texas certified HUB vendors with which you do not have a continuous contract\* in place for more than five (5) years does not meet or exceed the HUB Goal the contracting agency identified in the "Agency Special Instructions/Additional Requirements", complete:**
  - Section 1 - Respondent and Requisition Information
  - Section 2 a. - Yes, I will be subcontracting portions of the contract.
  - Section 2 b. - List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors and Non-HUB vendors.
  - Section 2 c. - No
  - Section 2 d. - No
  - Section 4 - Affirmation
  - GFE Method B (Attachment B) - Complete an Attachment B for each of the subcontracting opportunities you listed in Section 2 b.
- ▶ **If you will not be subcontracting any portion of the contract and will be fulfilling the entire contract with your own resources (i.e., employees, supplies, materials and/or equipment), complete:**
  - Section 1 - Respondent and Requisition Information
  - Section 2 a. - No, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources.
  - Section 3 - Self Performing Justification
  - Section 4 - Affirmation

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



# HUB Subcontracting Plan (HSP)

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

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

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

- 11.2 percent for heavy construction other than building contracts,
- 21.1 percent for all building construction, including general contractors and operative builders' contracts,
- 32.9 percent for all special trade construction contracts,
- 23.7 percent for professional services contracts,
- 26.0 percent for all other services contracts, and
- 21.1 percent for commodities contracts.

**- - Agency Special Instructions/Additional Requirements - -**

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

The HUB goals for this procurement are:

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

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

For a list of potential subcontracting opportunities, refer to Section 3.3 of the Request for Offer (RFO).

--Respondents using Checklist Option 3 must complete the HSP Good Faith Effort - Method B (Attachment B) for EACH subcontracting opportunity identified in Section 2 of the HSP.

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

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

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

**SECTION 1: RESPONDENT AND REQUISITION INFORMATION**

- a. Respondent (Company) Name: Tyler Technologies, Inc. State of Texas VID #: 17523039208  
 Point of Contact: Eric Cullison - VP of Sales, C&J Division Phone #: 972-713-3770  
 E-mail Address: Eric.Cullison@tylertech.com Fax #: 972-713-3777
- b. Is your company a State of Texas certified HUB?  - Yes  - No
- c. Requisition #: RFO 212-20-0385 Bid Open Date: 06/16/2020

(mm/dd/yyyy)

Enter your company's name here: Tyler Technologies, Inc.

Requisition #: RFO 212-20-0385

**SECTION 2: RESPONDENT'S SUBCONTRACTING INTENTIONS**

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

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

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

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

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

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

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

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

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

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

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

Enter your company's name here: Tyler Technologies, Inc.

Requisition #: RFO 212-20-0385

**SECTION 2: RESPONDENT'S SUBCONTRACTING INTENTIONS (CONTINUATION SHEET)**

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

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

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

Enter your company's name here: Tyler Technologies, Inc. Requisition #: RFO 212-20-0385

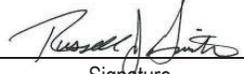
**SECTION 3: SELF PERFORMING JUSTIFICATION** (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.) If you responded "No" to SECTION 2, Item a, in the space provided below **explain how** your company will perform the entire contract with its own employees,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

Tyler Technologies does not anticipate the need for any subcontractors in this engagement and is the sole respondent for this proposal. Because this project involves proprietary software that is already implemented, there is not an opportunity to include any subcontractors.

**SECTION 4: AFFIRMATION**

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

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

 _____ Signature	Russell Smith _____ Printed Name	President, C&J Division _____ Title	06/16/2020 _____ Date (mm/dd/yyyy)
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**Reminder:**

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



# HSP Good Faith Effort - Method B (Attachment B)

Rev. 2/17

Enter your company's name here: Tyler Technologies, Inc. Requisition #: RFO 212-20-0385

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

## SECTION B-1: SUBCONTRACTING OPPORTUNITY

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

Item Number: \_\_\_\_\_ Description: \_\_\_\_\_

## SECTION B-2: MENTOR PROTÉGÉ PROGRAM

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

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

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

## SECTION B-3: NOTIFICATION OF SUBCONTRACTING OPPORTUNITY

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

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

- a.** Provide written notification of the subcontracting opportunity you listed in SECTION B-1, to three (3) or more Texas certified HUBs. Unless the contracting agency specified a different time period, you must allow the HUBs at least seven (7) working days to respond to the notice prior to you submitting your bid response to the contracting agency. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas’ Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at <http://mycpa.cpa.state.tx.us/tpasscmbldsearch/index.jsp>. HUB status code “A” signifies that the company is a Texas certified HUB.
- b.** List the **three (3) Texas certified HUBs** you notified regarding the subcontracting opportunity you listed in SECTION B-1. Include the company’s Texas Vendor Identification (VID) Number, the date you sent notice to that company, and indicate whether it was responsive or non-responsive to your subcontracting opportunity notice.

Company Name	Texas VID <small>(Do not enter Social Security Numbers.)</small>	Date Notice Sent <small>(mm/dd/yyyy)</small>	Did the HUB Respond?
			<input type="checkbox"/> - Yes <input type="checkbox"/> - No
			<input type="checkbox"/> - Yes <input type="checkbox"/> - No
			<input type="checkbox"/> - Yes <input type="checkbox"/> - No

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

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

Trade Organizations or Development Centers	Date Notice Sent <small>(mm/dd/yyyy)</small>	Was the Notice Accepted?
		<input type="checkbox"/> - Yes <input type="checkbox"/> - No
		<input type="checkbox"/> - Yes <input type="checkbox"/> - No

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

Rev. 2/17

Enter your company's name here: Tyler Technologies, Inc.

Requisition #: RFO 212-20-0385

## SECTION B-4: SUBCONTRACTOR SELECTION

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

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

Item Number: \_\_\_\_\_ Description: \_\_\_\_\_

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

Company Name	Texas certified HUB	Texas VID or federal EIN <small>Do not enter Social Security Numbers. If you do not know their VID / EIN, leave their VID / EIN field blank.</small>	Approximate Dollar Amount	Expected Percentage of Contract
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

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

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



# HUB Subcontracting Opportunity Notification Form

In accordance with Texas Gov't Code, Chapter 2161, each state agency that considers entering into a contract with an expected value of \$100,000 or more shall, before the agency solicits bids, proposals, offers, or other applicable expressions of interest, determine whether subcontracting opportunities are probable under the contract. The state agency I have identified below in **Section B** has determined that subcontracting opportunities are probable under the requisition to which my company will be responding.

34 Texas Administrative Code, §20.285 requires all respondents (prime contractors) bidding on the contract to provide notice of each of their subcontracting opportunities to at least three (3) Texas certified HUBs (who work within the respective industry applicable to the subcontracting opportunity), and allow the HUBs at least seven (7) working days to respond to the notice prior to the respondent submitting its bid response to the contracting agency. In addition, at least seven (7) working days prior to submitting its bid response to the contracting agency, the respondent must provide notice of each of its subcontracting opportunities to two (2) or more trade organizations or development centers (in Texas) that serves members of groups (i.e., Asian Pacific American, Black American, Hispanic American, Native American, Woman, Service Disabled Veteran) identified in Texas Administrative Code §20.282(19)(C).

We respectfully request that vendors interested in bidding on the subcontracting opportunity scope of work identified in **Section C, Item 2**, reply no later than the date and time identified in **Section C, Item 1**. Submit your response to the point-of-contact referenced in **Section A**.

<b>SECTION A: PRIME CONTRACTOR'S INFORMATION</b>	
Company Name: _____	State of Texas VID #: _____
Point-of-Contact: _____	Phone #: _____
E-mail Address: _____	Fax #: _____

<b>SECTION B: CONTRACTING STATE AGENCY AND REQUISITION INFORMATION</b>	
Agency Name: _____	Phone #: _____
Point-of-Contact: _____	Bid Open Date: _____
Requisition #: _____	(mm/dd/yyyy)

<b>SECTION C: SUBCONTRACTING OPPORTUNITY RESPONSE DUE DATE, DESCRIPTION, REQUIREMENTS AND RELATED INFORMATION</b>	
<b>1. Potential Subcontractor's Bid Response Due Date:</b>	
If you would like for our company to consider your company's bid for the subcontracting opportunity identified below in Item 2,	
we must receive your bid response no later than _____ on _____.	
Central Time Date (mm/dd/yyyy)	
<p><i>In accordance with 34 TAC §20.285, each notice of subcontracting opportunity shall be provided to at least three (3) Texas certified HUBs, and allow the HUBs at least seven (7) working days to respond to the notice prior to submitting our bid response to the contracting agency. In addition, at least seven (7) working days prior to us submitting our bid response to the contracting agency, we must provide notice of each of our subcontracting opportunities to two (2) or more trade organizations or development centers (in Texas) that serves members of groups (i.e., Asian Pacific American, Black American, Hispanic American, Native American, Woman, Service Disabled Veteran) identified in Texas Administrative Code, §20.282(19)(C).</i></p> <p><i>(A working day is considered a normal business day of a state agency, not including weekends, federal or state holidays, or days the agency is declared closed by its executive officer. The initial day the subcontracting opportunity notice is sent/provided to the HUBs and to the trade organizations or development centers is considered to be "day zero" and does not count as one of the seven (7) working days.)</i></p>	

<b>2. Subcontracting Opportunity Scope of Work:</b>
---

<b>3. Required Qualifications:</b>	<input type="checkbox"/> - Not Applicable
------------------------------------	---

<b>4. Bonding/Insurance Requirements:</b>	<input type="checkbox"/> - Not Applicable
---	---

<b>5. Location to review plans/specifications:</b>	<input type="checkbox"/> - Not Applicable
--	---

## 10. Antitrust Certification Statement

Tyler's completed and signed Attachment F – Antitrust Certification Statement is included on the following page.

## Antitrust Certification Statement (Tex. Government Code § 2155.005)

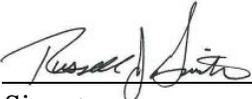
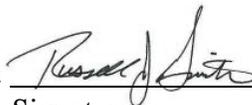
I affirm under penalty of perjury of the laws of the State of Texas that:

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

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

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

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

<p><b>Vendor</b> <u>The State of Texas</u></p> <p><u>Office of Court Administration</u></p> <hr/> <p><b>Address</b> <u>Tom C. Clark Building</u></p> <p><u>205 W. 14th St., Suite 600</u></p> <p><u>Austin, TX 78701</u></p> <p><b>Phone</b> <u>(512) 463-1625</u></p> <p><b>Fax</b> <u>(512) 463-1865</u></p>	<p><b>Bidder</b> <u></u></p> <p>Signature</p> <p><u>Russell Smith</u></p> <p>Printed Name</p> <p><u>President, C&amp;J Division</u></p> <p>Position with Company</p> <p><b>Official Authorizing Bid</b> <u></u></p> <p>Signature</p> <p><u>Russell Smith</u></p> <p>Printed Name</p> <p><u>President, C&amp;J Division</u></p> <p>Position with Company</p>
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## 11. Execution of Offer

Tyler's completed and signed Attachment G – Execution of Offer is included on the following pages.

## Attachment G Execution of Offer

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

**By signature hereon, Offeror certifies that:**

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

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

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

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

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

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

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

<b>Name: Not applicable</b>	<b>Social Security Number: Not applicable</b>
<b>Name: Not applicable</b>	<b>Social Security Number: Not applicable</b>
<b>Name: Not applicable</b>	<b>Social Security Number: Not applicable</b>

In accordance with Government Code §2252.901, Offeror certifies that no principal of Offeror was an employee of the Office of Court Administration within the past year, and that no employee of Offeror who

was an employee of the Office of Court Administration within the past year will perform services if Offeror is awarded this contract.

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

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

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

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

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

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

## PREFERENCES

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

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

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

### **Specification preferences:**

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

### **Source preferences:**

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

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

OFFEROR (COMPANY): Tyler Technologies, Inc.

SIGNATURE (): 

NAME (TYPED/PRINTED): Russell Smith

TITLE: President, Courts & Justice Division DATE: June 16, 2020

STREET: 5101 Tennyson Parkway

CITY/STATE/ZIP: Plano, Texas 75024

TELEPHONE AND FACSIMILE NUMBERS: Phone: (972) 713-3770; Fax: (972) 713-3777

TEXAS IDENTIFICATION NUMBER (TIN): 17523039208

## **Appendix**

**Appendix A - Functional and Technical Diagrams**

**Appendix B – Application Screenshots**

**Appendix C – Sample Risk Register**

**Appendix D – Court Insights Description – Optional Expansion**

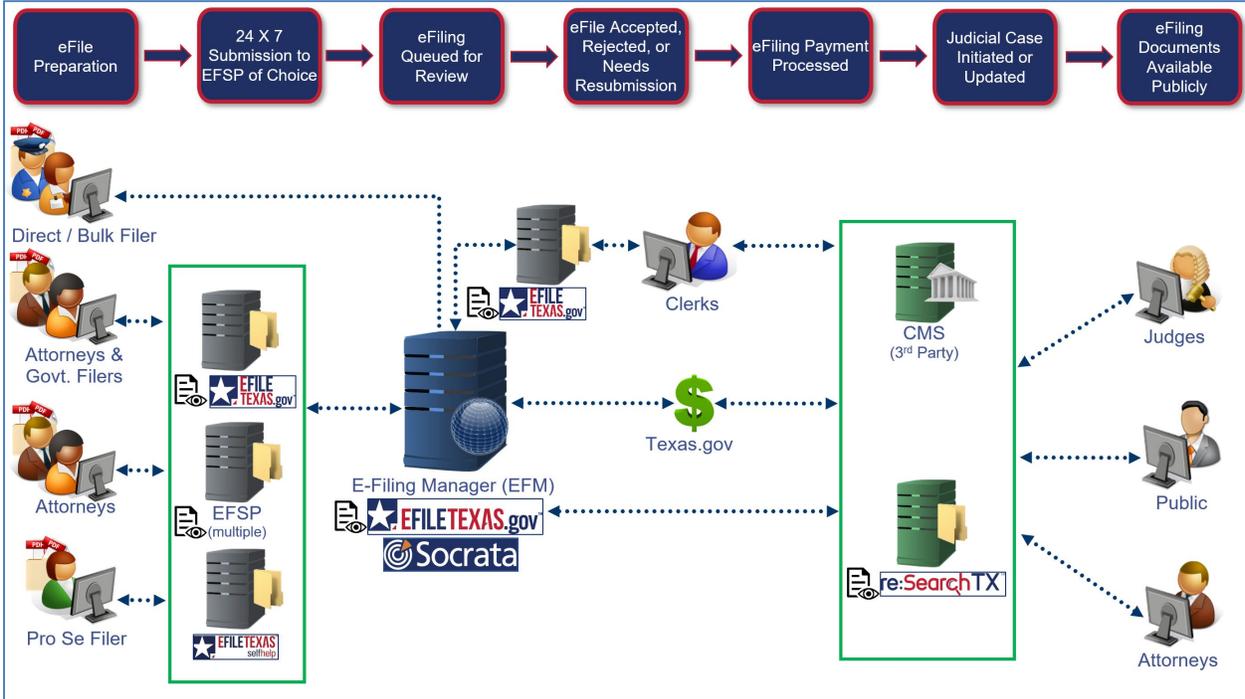
**Appendix E – Certificate of Liability Insurance**

**Appendix F – 2019 Annual Report**

Appendix A – Functional and Technical Diagrams

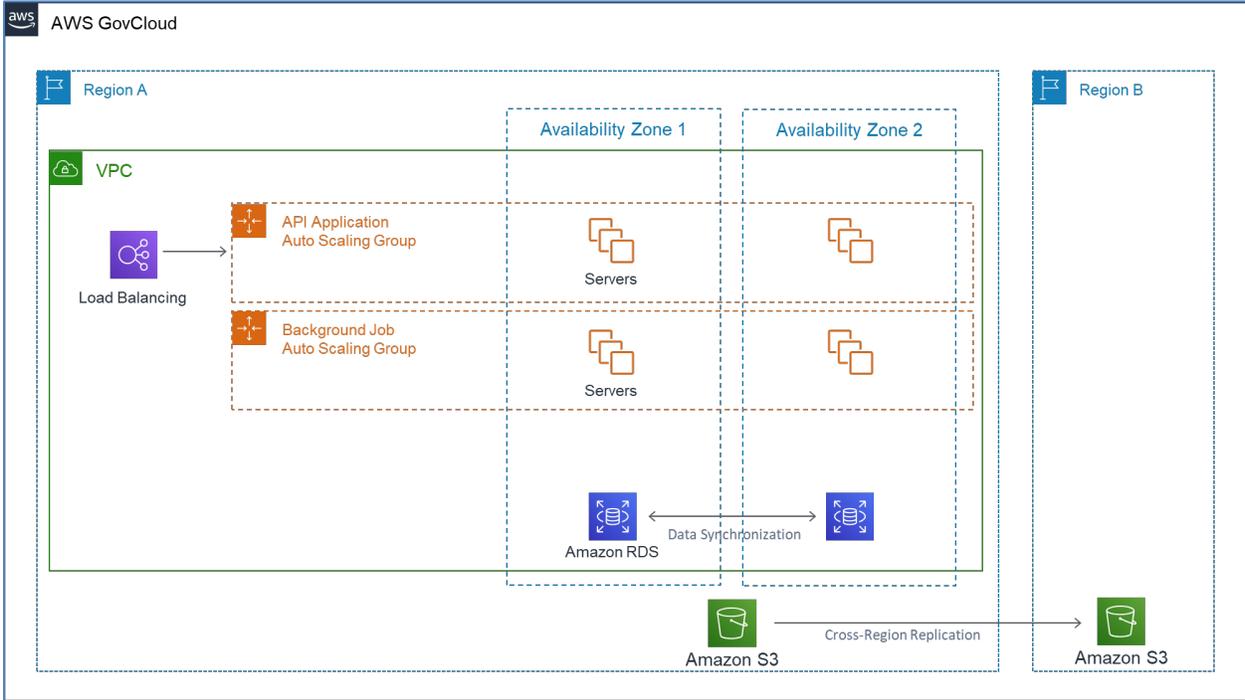
As referenced in Section 3.3 System Architecture and Technology, Tyler has included functional and technical diagrams of the proposed program’s architecture below.

Figure A-1 – Functional Diagram



**Comprehensive Platform:** Tyler’s proposed solution provides for all functional aspects of the eFileTexas 2.0 vision via micro-applications. The solution includes the ECF compliant filer-facing solutions for legal professionals, governmental agencies, and self-represented litigants; a reviewer application for clerks and court personnel; the re:Search document access solution; Tyler Redaction services that are built directly into the various micro-applications and the e-Filing Manager, through which these micro-applications and partner systems integrate. The Socrata solution sits on top of the eFileTexas 2.0 program to provide reporting analytics and metrics from the data and information that flow throughout the solution.

Figure A-2 – Technical Diagram

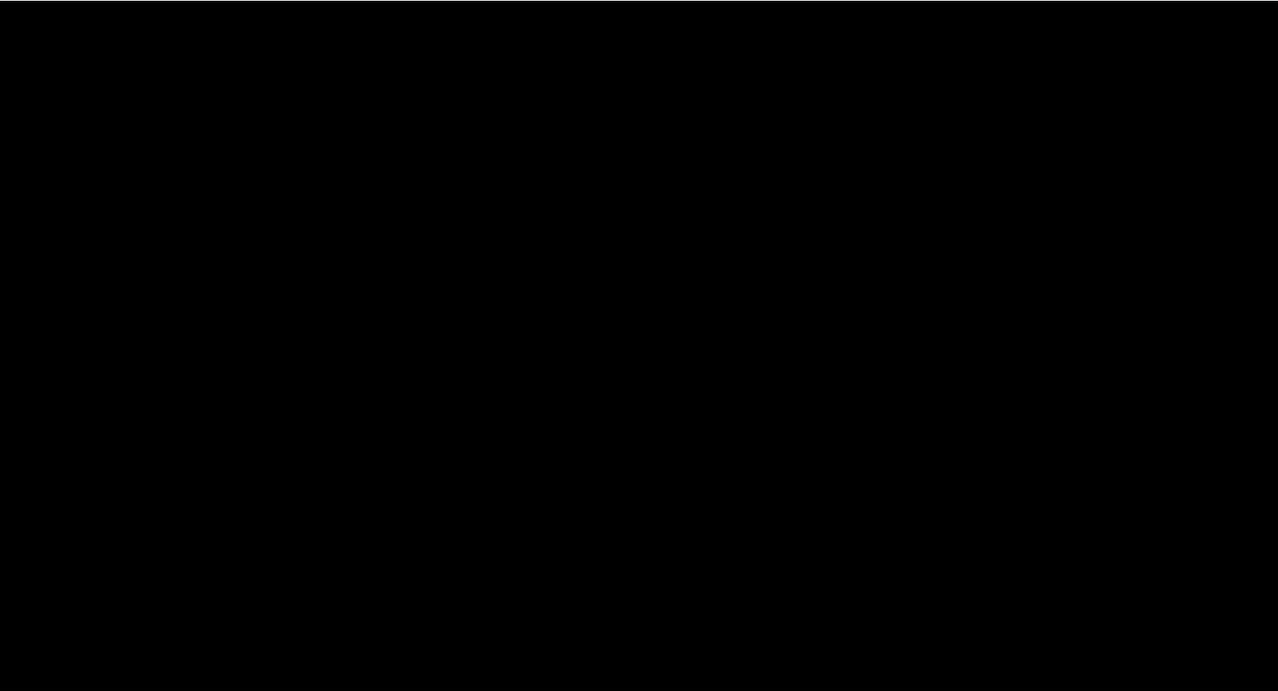


**Technology Applied:** Through Tyler’s strategic partnership with Amazon Web Services, Tyler will leverage GovCloud and AWS native cloud technologies to deliver unprecedented levels of performance, stability, and security throughout the entire proposed platform to reliably deliver upon the eFileTexas 2.0 program.

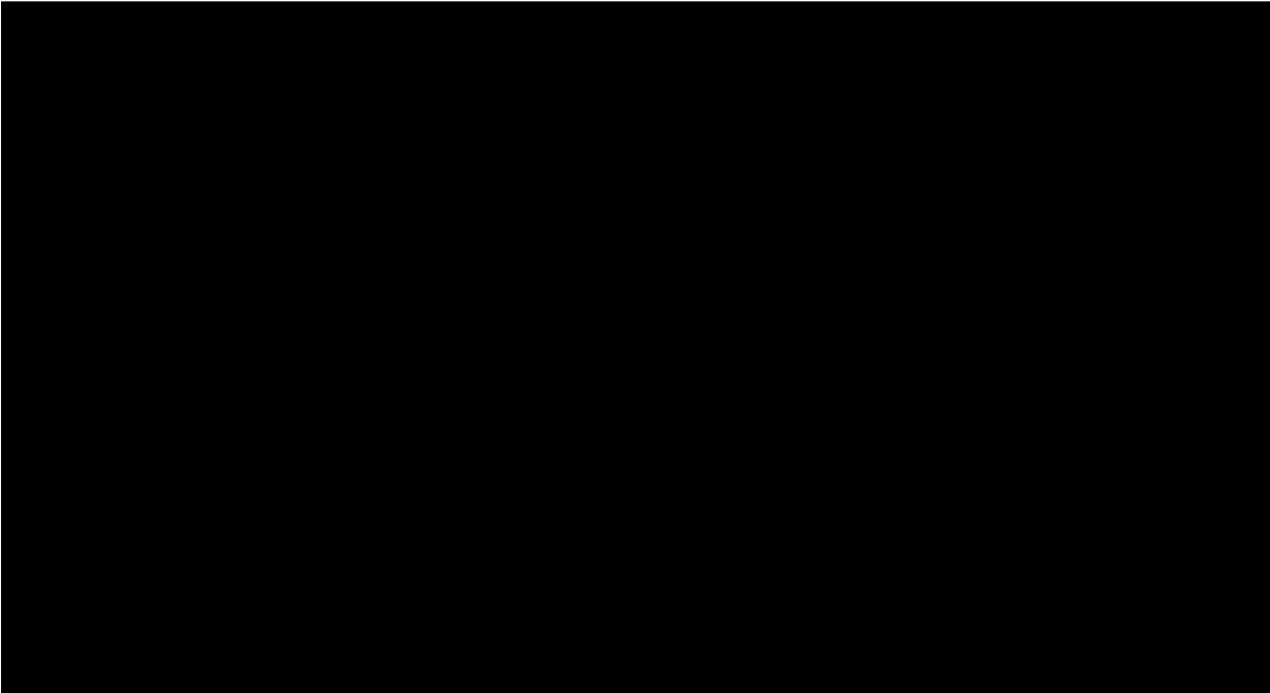
**Appendix B – Application Screenshots**



**Proprietary and Confidential – Subject to Restrictions on Disclosure.**



**Proprietary and Confidential – Subject to Restrictions on Disclosure.**



Proprietary and Confidential – Subject to Restrictions on Disclosure.

## Appendix C – Sample Risk Register

As referenced in Section 4.1.2 Additional Offeror Response, Tyler has included a sample risk register on the following page that will be used throughout the project implementation to identify, monitor, manage and control risk.

Identification & Mitigation					Assessment				Action Plan				Monitor		
ID #	Category	Risk	Potential Impact	Mitigation Efforts to Date	Reporter	Probability	Impact	Risk Score	Response	Action Plan	Next Step Owner	Next Action Date	Reoccurrence risk?	Mitigation Effectiveness	Action Plan Effectiveness
I-01	Integration	New release changes integration schema	EFM to CMS integrations could stop functioning correctly	Vendor SharePoint page has been updated with new schema information.	Tyler EFM Support	2	2	4	Mitigate	Tyler will notify vendors of schema change in April, May, and June Compass Check Meetings. Tyler will also send email communications to vendors on April 30th, May 15, June 1st, and June 15th reminding them of the schema change.	Tyler Client Success	15-Jun	2	4	1
L-01	Legal	Legislation is passed changing OCA reporting	Clerks can be out of compliance with the law	None	JCIT	5	5	25	Mitigate	JCIT will update technology standards by June 30th, Tyler will load updated standards for testing by clerks by July 31st. Clerks have until August 30th to test and refine code set.	JCIT	31-Jul	1	1	

## Appendix D – Court Insights – Optional Expansion

Data is at the heart of the State of Texas Judiciary’s mission. With more than 9 million cases filed in 2019, that mission touches the lives of millions of people from every walk of life. We at Tyler could not agree more with the statement below, nor be more committed to enabling you to improve outcomes based on data.

*“Data shapes how we manage our courts, how public policy decisions are made, and the experiences of the individuals that visit our courthouses every day. Studying the data and making improvements to our system based on that data is vital and is something to which the Texas Judiciary is committed.”*

**David Slayton, Administrative Director of the Office of Court Administration for the State of Texas**

In this proposal, we laid out an approach that starts by modernizing reporting for Texas eFile system, with a cloud-based, purpose-built Socrata solution that automatically surfaces key operational performance insights, in a highly-interactive and actionable experience for analysts and administrators alike. We believe the first phase of our proposed approach will support and accelerate the adoption of electronic filing, a pivotal component of the Texas Judiciary’s digital transformation. This E-Filing Statistical Dashboard is included as a part of our proposed e-filing solution.

The Optional Expansion of our proposed approach extends the analytics eFiling infrastructure to include fully-productized court performance metrics, modeled on the National Center for State Courts’ (NCSC) CourTools standards, and enabled by data from Tyler Odyssey as well as other case management systems in the state. This solution offered by Tyler is called Court Insights. This important leap in value will provide standardized insights into case flow, throughput, and other efficiency outcomes across the state—all while leveraging the exact same Socrata-powered user experience and cloud-based delivery system that powers eFiling statistics. For users at Texas OCA and the community of county-based clerks and court administrators, that experience will be seamless.

Enabling this optional phase will require a services-led implementation of supported Socrata data connectors from Tyler for all Odyssey systems throughout the state in order to automate the flow of data. For courts using non-Tyler systems, their IT departments will be provided with a standard data schemas and best practices for exporting their data, using their tools of choice. Once that interface is established, the data will be ingested into the Socrata platform to feed the analytics and user experiences downstream. The Optional Expansion proposed would provide a statewide license of Court Insights for all of the Clerks, Judges, and Court Administrators licensed to Use eFileTexas, as well as the OCA.

### Why use Court Insights?

As a court administrator, you work diligently to improve court performance on a day to day basis. You struggle to allocate resources to staff, troubleshoot case management issues, and provide efficient and equal services for litigants. You do this by analyzing the data in your case management systems, trusting your knowledge and understanding of problems that are brought to your desk, and empowering other staff members to do their best work.

In light of the COVID-19 pandemic, your commitment to providing services to the public and supporting court employees has become even more important and demanding. Now more than ever, it's grown hard to track all of the challenges you face and to quantify the considerations that feed into the difficult decisions that have to be made in order to work towards regaining stability within the court system.

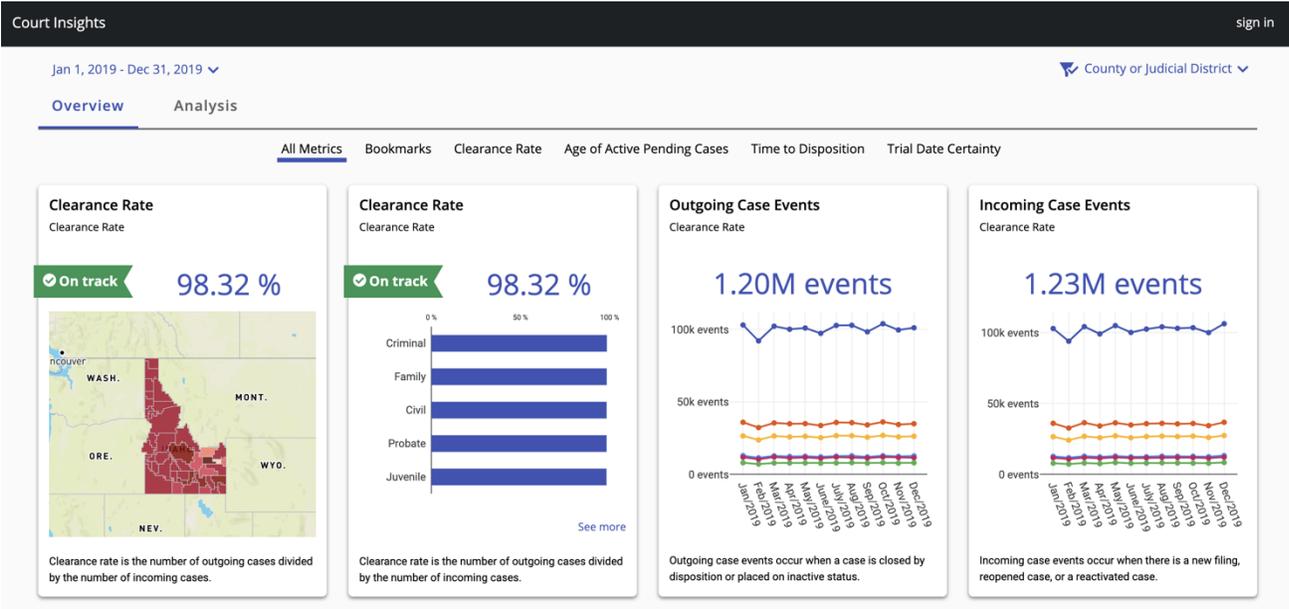
Court Insights provides you with a powerful tool to view and proactively analyze your case management data. With Court Insights, you can easily find the information you need to understand existing problems, set alerts and benchmarks that help you track issues, and create strategic approaches to improving performance. Accessing this information in a dynamic, flexible format allows you to have data-driven conversations based on up-to-date case management information, ensuring that your approach stays relevant as circumstances change. Court Insights supports you in creating shared understanding among stakeholders in the justice system and in the community so you can reach the right conclusions together more quickly, and validate those decisions based on objective, nationally recognized measures and reliable data sources.

Watch our demo video to learn more: <https://socrata.wistia.com/medias/ddzuer96bc>

How do I use Court Insights?

Court Insights is a dynamic data exploration tool which provides four pre-packaged court performance metrics that flow from your Odyssey or Third-Party case management system data:

- Clearance Rate,
- Time to Disposition,
- Age of Active Pending Cases,
- and Trial Date Certainty.



The Court Insights Dashboard's Clearance Rate metrics (please note: data shown is synthetic).

You'll see these useful metrics pre-calculated and displayed on your Court Insights dashboard when you log in. These metrics were developed by the National Center for State Courts and give you everything you need to understand the overall health and efficiency of your court system; but more importantly they serve as entry points for what you can discover in your data. While exploring the data that underlies these measures, you can investigate case statuses per case category and case type on the level of the entire state, a judicial district, a county, a specific court, or even a particular judge's caseload. You can answer complex questions such as "why has my clearance rate gone down 10% for probate cases statewide?". You can conduct highly focused investigations, such as examining the 5 cases that closed last week in a municipal court. You can look at any time period, allowing you to effortlessly collect statewide data for weekly, quarterly or annual reports, while just as easily checking to see how many active criminal cases are pending this week in a specific county.

## Features

**Metrics:** Using nationally trusted measures allows you to objectively evaluate your court performance. As government agencies grapple with budget cuts, it's important to be able to justify your decision-making process by using tested, trusted standards of evaluation.

**Proactive Alerts:** Court Insights allows you to set fully customizable notifications on any view of the data you create. Whatever problem you want to monitor- whether it's the criminal case backlog, the clearance rate for dependency cases in a specific court, or how many hearings are set in family law cases- simply set an alert to notify when your numbers rise or fall to the level you are concerned about, and you'll receive an email when you need it. If the situation changes, erase or adjust your monitor to reflect your new threshold.

Create Bookmark

Settings Filters

Name this bookmark

Name your bookmark

Notify me if

The total of Average Number of Settings Per Case is currently 4.1 settings.

Average Number of Settings Per Case is above 5

+ Add a condition

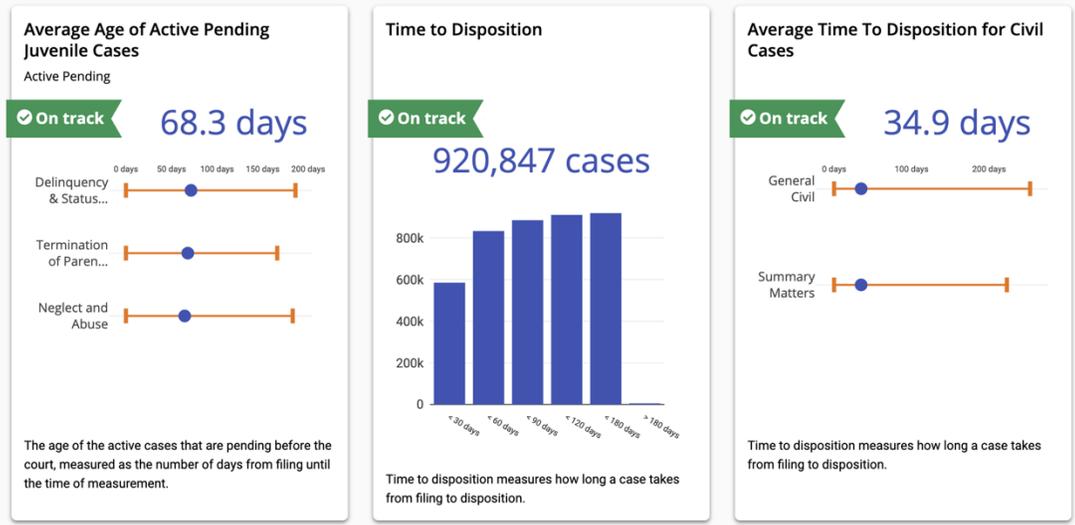
Send email updates

Daily

Only if threshold is breached

Cancel Save

**Targets:** You can set targets for your metrics within Court Insights. These targets appear on your metric dashboard and allow you to immediately compare your current performance to your goals. As you scan your dashboard, you can gain an immediate sense of what is on track and off track and focus your energy on the most urgent issues illustrated by your data.



**Peer Collaboration:** When you’re signed into Court Insights, it’s easy to start a conversation about a specific visualization. A share button allows you to send what you’re looking at directly to your colleagues with your notes or requests. There’s no need to screenshot something to show someone later; you can immediately take action and created shared understanding about the issues that interest you in your data.

Send Via Email

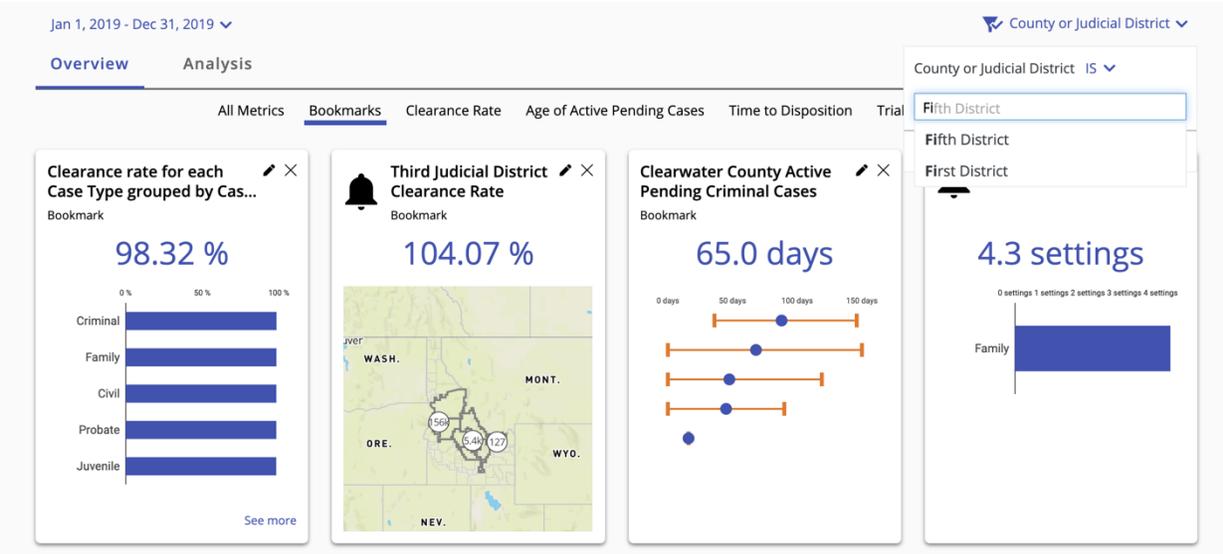
Your Name\*  
 Court Insights User

Recipient Mail\*  
 countyadmin@court.gov

Subject\*  
 Family Law Case Clearance Rate

Message\*  
 Let's talk about this at our next meeting. I'm seeing some interesting issues in this data.

**Role-Based Personalization:** As soon as you are on your Court Insights dashboard, you can set your entire application to filter and show you only the data you need to see based on your jurisdiction or geographic area of interest. The Bookmark feature also allows you to create a personal dashboard that only displays the data you have chosen to highlight; you can edit or add to these bookmarks at any time to adjust to your needs as they change.



**Download and Export:** With the click of a button, you can download spreadsheets of the underlying data for further analysis or export visualizations from Court Insights for reports or presentations.

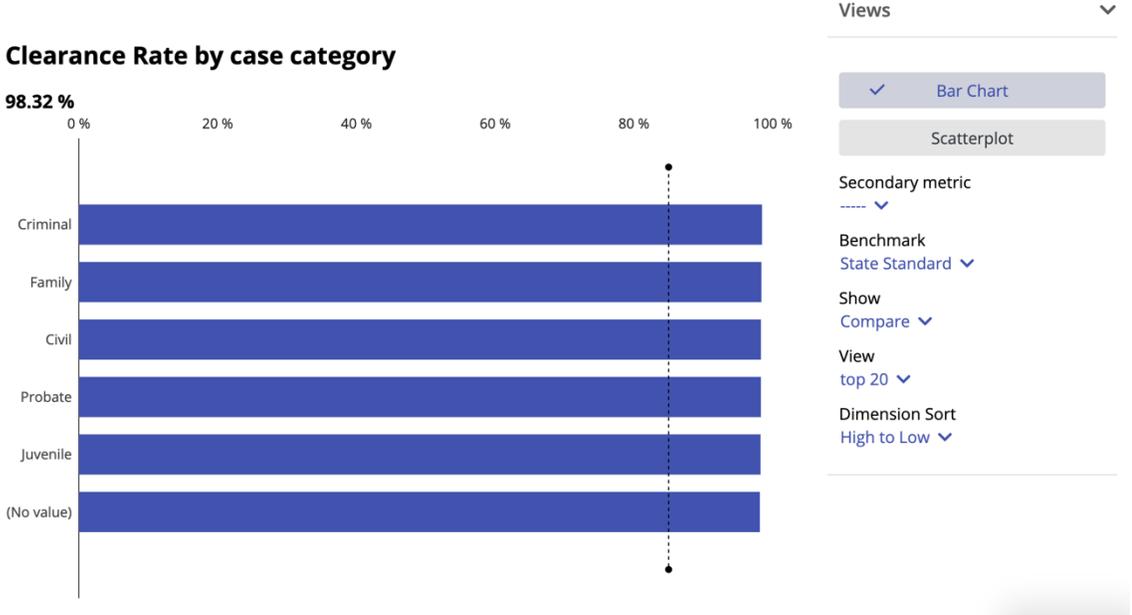
For Clearance Rate View Clearance Rate by Case Category grouped by None

Share Download Bookmark

Snapshot Over Time Distribution Map Table

Case Numbe...	Odyssey Case Category ↑	Case Category	Odyssey Case Type	Case Type	Odyssey Event	Event
C-0014182...	Appellate		Post-Conviction		Negative Behavior-Failure to Appear...	Placed
C-0014182...	Appellate		Post-Conviction		Review	Reactiv
C-0014182...	Appellate		Post-Conviction		Negative Behavior-Positive Drug Test	Non-Tri
C-0014267...	Appellate		Certification of Law		Negative Behavior-New Arrest	Jury Tri.
C-0014316...	Appellate		Idaho State Bar		Negative Behavior-No Show	Jury Tri.

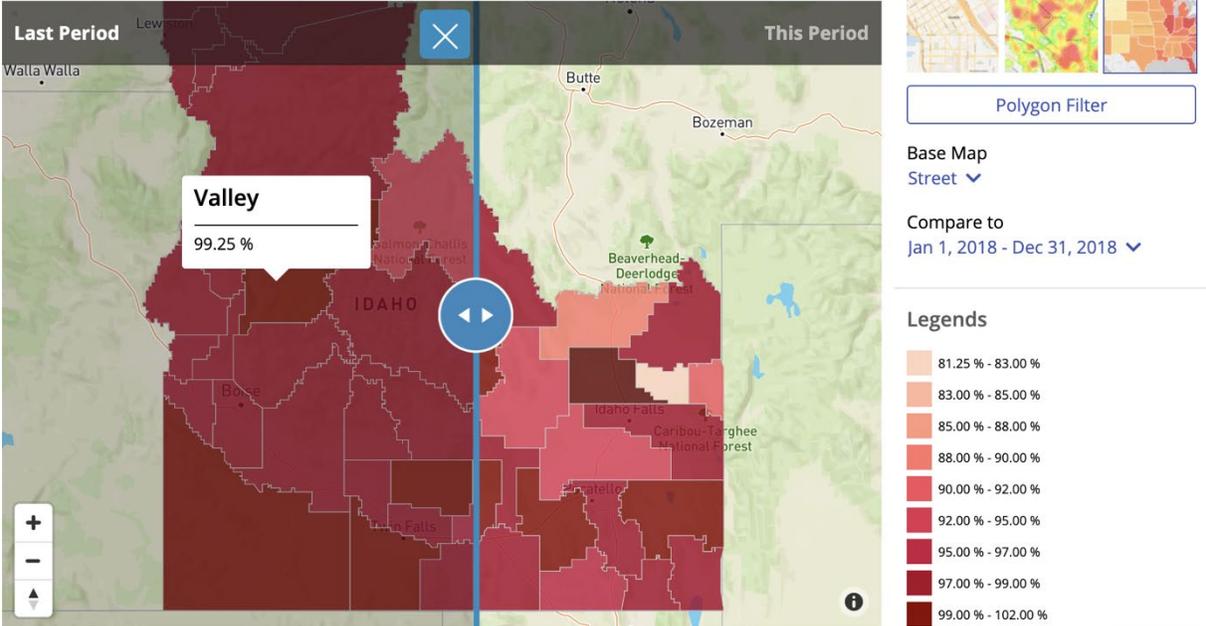
**Benchmarks:** Within your visualizations, your Court Insights metrics can show you how your performances measures compare to national benchmarks based on standards developed by the National Center for State Courts, or benchmarks that you set based on your priorities.



**Up-to-Date Information:** Court Insights updates your data based on what’s flowing into your case management system on a nightly basis, allowing you to see what’s happening on the ground in your courthouses within 24 hours. You don’t need to wait for reports to compile or for status updates from your colleagues; you can troubleshoot problems as they develop, instead of being stalled by the need to aggregate data.

**Visualization and Comparison Options:** Court Insights shows you your data through the lenses of bar charts, histograms, choropleth and heat maps, over time charts, and detailed table views. Comparison sliders allow you to analyze developing issues visually as well as numerically. This level of dynamic exploration supports your “informed intuition”; you can visualize and slice the data in an almost infinite number of ways in order to seek answers to questions and draw conclusions.

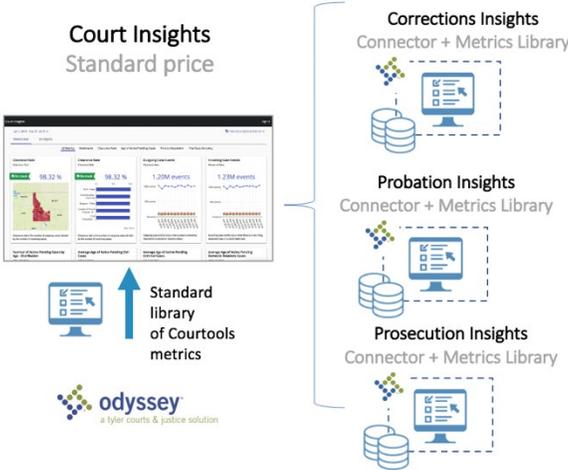
**Clearance Rate by County Boundaries**



**Trusted, Direct Data Source:** Because Court Insights draws directly from your case management data, you know you are seeing a reflection of your database. You can use Court Insights visualizations to track data integrity and standardize your data normalization process.

**Future Forward - Connecting the Dots Along the Justice Journey**

Tyler’s planned roadmap for Socrata-based reporting and analytical products will build on the Court Insights and eFiling Insights foundation, in order to provide end-to-end visibility into the entire justice lifecycle. Indeed, in our future product releases we will augment the suite of products to include Prosecution Insights, Corrections Insights, and Probation Insights.



We will continue to leverage the same model of creating a rich library of domain-specific operational and outcome metrics, out of the box, that can be analyzed, shared, and proactively monitored, in a highly interactive experience. That experience will be enabled by a supported data pipeline that automates the flow of up-to-date and trusted data from the relevant Tyler system, for a seamless experience.

With each step along that roadmap, our customers will be able to answer more cross-cutting questions that today are obscured by data silos along these disparate functions. This will bring our community of users closer than ever to the vision of having full visibility into the dispatch-to-disposition journey. That milestone will allow our clients to instrument the entire journey in order to make it more efficient, more transparent, and more responsive to the needs of the public. It will also allow our court administrators at the state level to engage better with their legislative and oversight stakeholders in evidence-based policymaking initiatives. We will be able to offer a much richer data-driven perspective on important societal goals such as reducing recidivism, increasing equity, and preventing unnecessary incarceration in the justice system.

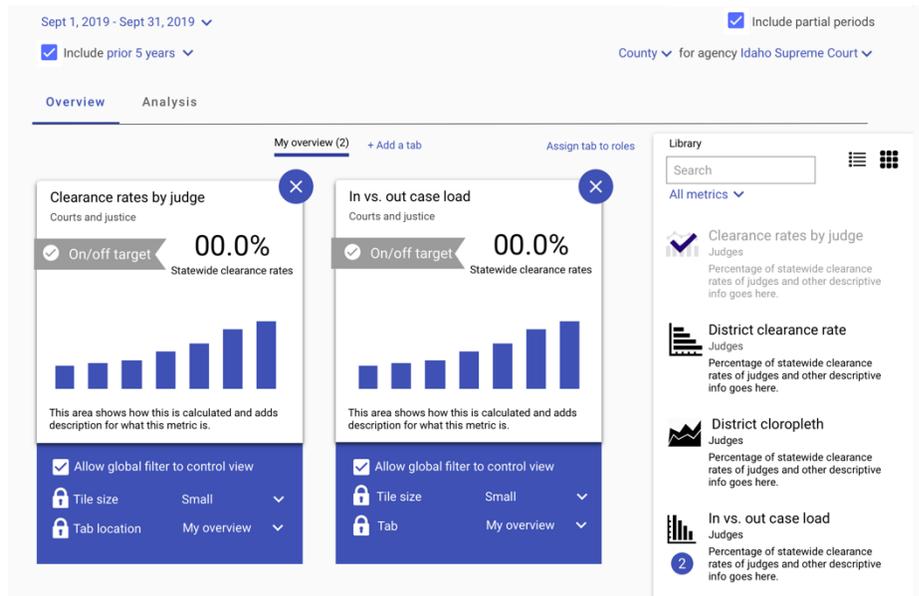
### **Extensible Justice Analytics for the OCA**

With Court Insights, users throughout the State of Texas Judiciary will have access to a best-of-breed packaged application for dashboarding and visual analysis of court metrics. With built-in alerts, personalization, and drill down capabilities a click away, we believe the user community will feel empowered to interact with data, flexibly and intuitively, in their day-to-day work.

This proposed approach creates a durable foundation for rapidly expanding the analytical capabilities of Texas OCA and all participating counties. Our shared goal and vision is to empower analysts, administrators, clerks, and policymakers to make the best decisions possible about allocation of resources, procedural workflows, and policy in a way that's informed by trusted data and actionable insights. New levels of visibility into operational and mission outcomes for decision makers is our ultimate goal and primary focus. In addition, the benefits of our proposed approach will also extend to our customers' IT organizations, as this rollout will result a modern, extensible, and cost-effective cloud data infrastructure for all participants. Given how strategic data is to digital transformation in the State of Texas Judiciary, the positive spillover effects of this approach – speed, flexibility, interoperability, and cost-savings– will reverberate for years to come.

### **The Freedom and Flexibility to Create New Insights**

In addition to the packaged Court Insights product, the OCA will have a flexible analytics application that can be extended to include new custom metrics, tailored to your users' needs as you discover them. This expanded use platform is called the Socrata Connected Government Cloud (SCGC).

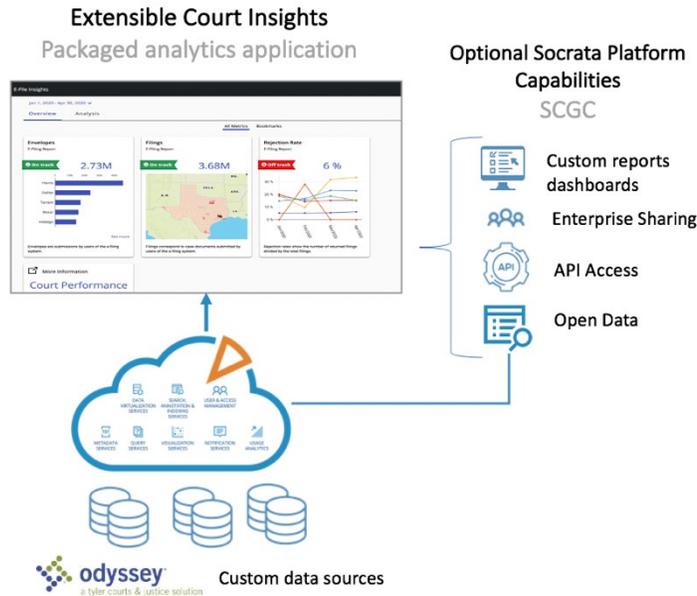


The extensible architecture of the enterprise edition of Court Insights considerably shortens the time-to-value for new insights by adding a new data source to the underlying Socrata platform and setting up a new metric configuration in the application. The data-integration step in this process will be services-enabled and our goal would be to equip the team at Texas OCA to become more self-sufficient over time. Regardless of how the data is added, however, once we have a new live connection to the platform, any number of metrics that are derived from that data source, can be easily and quickly added to an existing dashboard, to give users the same analytical experience and power as with the out-of-the-box metrics.

### Data as a Platform for Innovation

Everything we've described in terms of capabilities is enabled by the SCGC platform. The extensibility of Court Insights and speed with which we can go from data to actionable insights is a direct benefit of the Socrata platform.

We envision that the OCA will leverage the SCGC platform to the fullest by opening up the same platform capabilities that power these packaged applications, and equip the team at Texas OCA to use them to drive innovations in across a broader spectrum of data management and analytics use cases. In particular, four key platform enablers will play a significant role in actualizing this data-as-a-platform vision.



### Employee Self-service Access and Enterprise Sharing

First, with the Socrata platform (SCGC) as the foundation, your team will be able to connect new data sources into a single access point for trusted data. A single source of truth for authoritative and up-to-date data paves the way for making all performance, operational, and financial data –for any given program– available in secure self-service mode to authorized employees. The secure, self-service data discovery and access proposition is managed by an all-new user and role management system; a fine-grained access control system that integrates with enterprise identity providers; configurable approval workflows; and full auditability for every data sharing transaction. The entire system runs exclusively in our FedRAMP-Moderate accredited environment, giving you the peace of mind you need to share sensitive data across programs, and departments.

### Easy Report Creation for Non-technical Employees

Second, by complementing Court Insights with the full power of data contextualization in the SCGC platform, the OCA will also be enabled to create their own interactive information products, such as visualizations, dynamic reports, and dashboards and share them. This will free up executives, program managers, analysts and frontline employees, who today, depend on technically-proficient intermediaries for the most basic tasks involving data, to ask and answer their own questions in self-service mode. It will also enable a more engaging collaboration with state legislature and internal stakeholders within the State of Texas, resulting in increased trust, and customer satisfaction.

Because the platform is connected in real or near time to the CMS source systems across the state, the potential exists for this tool to be used as a replacement for state reporting. Currently the accumulation of this data at the local level is a cumbersome process that is very labor intensive for the Clerks’ staff. And the data that is transmitted to the OCA is only summary level information that is not very insightful and very difficult to change when needed. Using SCGC to dynamically collect and present this data would not only save thousands of hours for the Clerk staff, but would provide the OCA, the Supreme Court, and the

Legislature with far more useful insights to guide the formation of policies that affect the safety and justice for society.

### **Infinite Reuse via APIs and Built-in Support for Open Analytics**

Third, in addition to self-service discovery and contextualization, we have designed Socrata Connected Government Cloud from the ground up to deliver enterprise-scale data reusability with our industry-leading Data-as-a-Service Platform™. Everything from search and discovery, to KPI management, to metadata management, to high-performance SQL-like data queries, –and data fusion, or joins– all are available via secure programmatic interfaces. With the recent rollout of OData V4 support, along with a growing library of open SDKs and analytics connectors, powering a production-class heterogeneous analytics environment like PowerBI, Tableau, R, and Python is built-in, giving analysts the freedom to use their analytics tool of choice, while leveraging the same source data. The economies of reuse through internal APIs also fits very well with a microservices architecture and can increase the reach of the Office of Court Administration data to third-party systems by 70%, while producing a 30% productivity gain in speed-to-implementation of new data initiatives.

### **Open Data Ready**

Finally, Socrata has open data in our DNA, and naturally, we designed the Socrata Connected Government Cloud to make the publishing of high-quality open data effortless by making it a natural byproduct of internal use. As a result, we are improving the flow of data and information to the public, improving their experience so they can relate to the data better, all while reducing the marginal costs of open data publishing down to nearly zero.

## Appendix E – Certificate of Insurance Liability

As referenced in Section 2.11 Financial Solvency and Insurance Information, Tyler has provided our Certificate of Liability Insurance on the following page.



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

3/31/2020

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

**IMPORTANT:** If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

<b>PRODUCER</b> Hays Companies Inc. 133 Federal Street, 4th Floor  Boston MA 02110	<b>CONTACT NAME:</b> Moira Crosby <b>PHONE (A/C No. Ext):</b> <b>FAX (A/C No):</b> <b>E-MAIL ADDRESS:</b> mcrosby@hayscompanies.com
	<b>INSURER(S) AFFORDING COVERAGE</b> <b>INSURER A:</b> Hartford Fire Insurance Company <b>INSURER B:</b> Hartford Casualty Insurance Company <b>INSURER C:</b> Lloyds of London Syndicates <b>INSURER D:</b> <b>INSURER E:</b> <b>INSURER F:</b>

**COVERAGES**

CERTIFICATE NUMBER: 20-21 GL Auto WC

REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR  GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:			08UENAY8572	4/1/2020	4/1/2021	EACH OCCURRENCE	\$ 1,000,000
							DAMAGE TO RENTED PREMISES (Ea occurrence)	\$ 1,000,000
							MED EXP (Any one person)	\$ 10,000
							PERSONAL & ADV INJURY	\$ 1,000,000
							GENERAL AGGREGATE	\$ 2,000,000
							PRODUCTS - COMP/OP AGG	\$ 2,000,000
								\$
A	<b>AUTOMOBILE LIABILITY</b> <input checked="" type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> NON-OWNED AUTOS			08UENAY8572	4/1/2020	4/1/2021	COMBINED SINGLE LIMIT (Ea accident)	\$ 1,000,000
							BODILY INJURY (Per person)	\$
							BODILY INJURY (Per accident)	\$
							PROPERTY DAMAGE (Per accident)	\$
								\$
B	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> EXCESS LIAB <input type="checkbox"/> OCCUR <input type="checkbox"/> CLAIMS-MADE DED RETENTION \$			08XHUAZ8392	4/1/2020	4/1/2021	EACH OCCURRENCE	\$ 25,000,000
							AGGREGATE	\$ 25,000,000
								\$
B	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b> ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N	N/A	08WHEEL5271	4/1/2020	4/1/2021	<input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTH-ER	
							E.L. EACH ACCIDENT	\$ 1,000,000
							E.L. DISEASE - EA EMPLOYEE	\$ 1,000,000
							E.L. DISEASE - POLICY LIMIT	\$ 1,000,000
C	Cyber/Privacy Prof Liab			B0621PTYLE000219	12/17/2019	12/17/2020	Limit	\$20,000,000
C	Cyber/Privacy Prof Liab			B0621PTYLE000319	12/17/2019	12/17/2020	Excess Limit	\$10,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

**CERTIFICATE HOLDER****CANCELLATION**

Evidence of Insurance	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.
	<b>AUTHORIZED REPRESENTATIVE</b> James Hays/MCROSB 

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ACORD 25 (2014/01)

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INS025 (201401)

## Appendix F – 2019 Annual Report

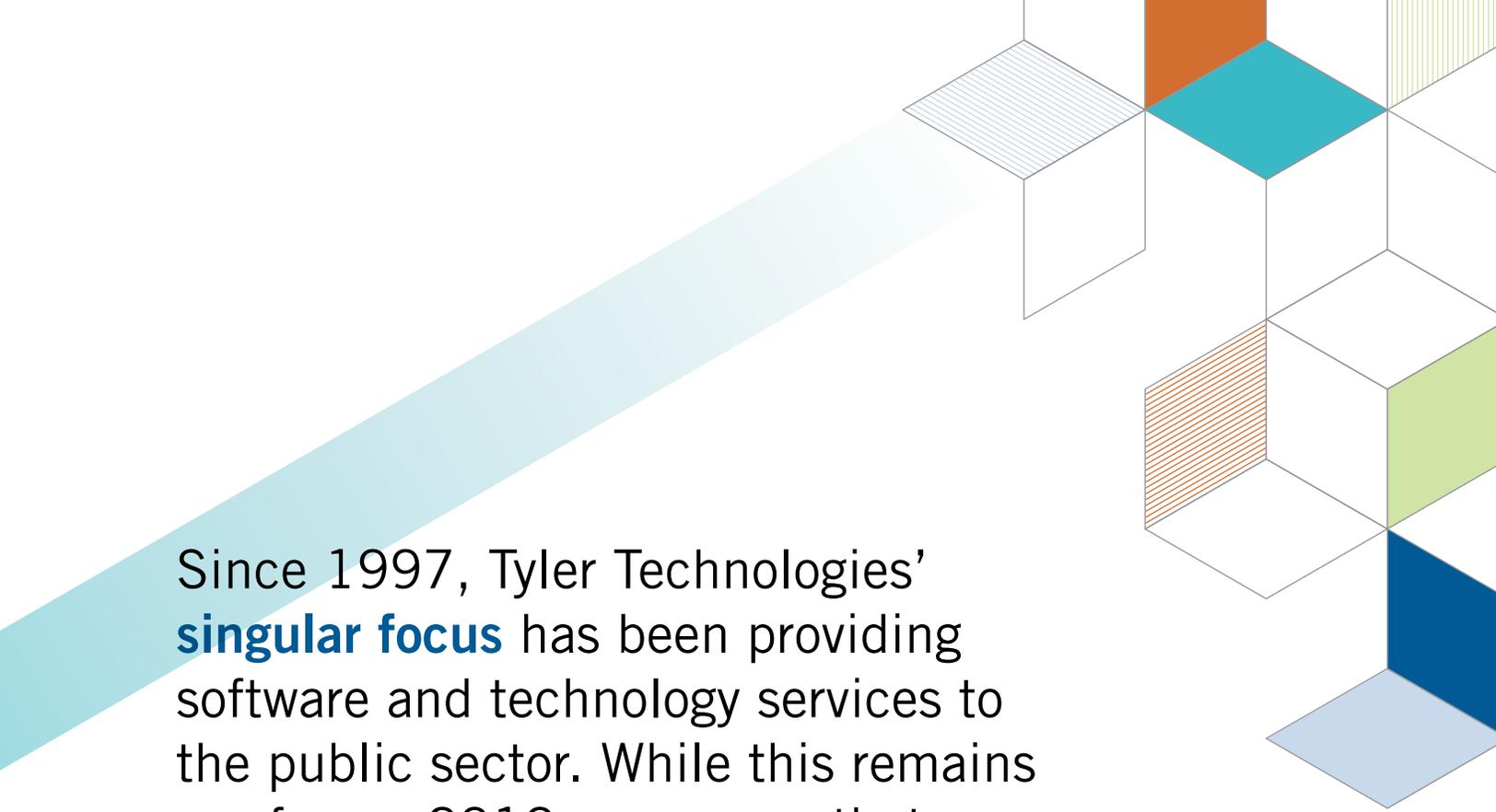
As referenced in Section 2.11 Financial Solvency and Insurance Information, Tyler has provided our 2019 Annual Report on the following pages.

**SINGULAR FOCUS**  
**MULTIPLE DIMENSIONS**



2019 ANNUAL REPORT





Since 1997, Tyler Technologies' **singular focus** has been providing software and technology services to the public sector. While this remains our focus, 2019 was a year that highlighted and amplified the **multiple dimensions** of our growing company.

**We serve** multiple levels of public sector clients, from local to national. The 2019 acquisition of MicroPact added federal clients such as NASA and the Department of Justice to our extensive roster of municipalities, counties, states and other government entities.

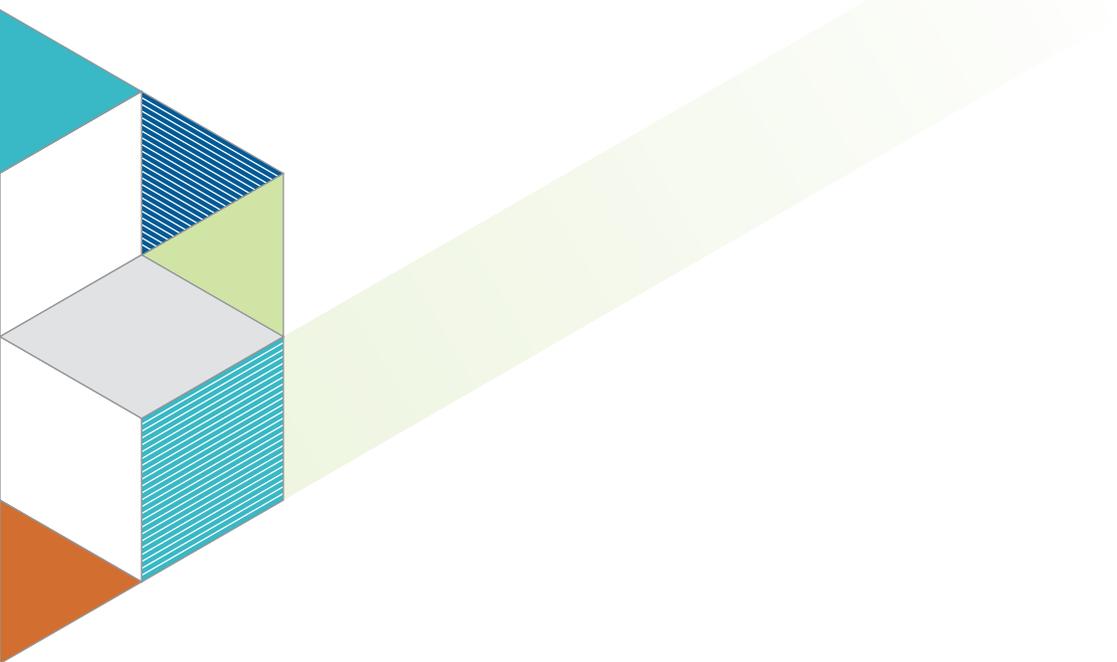
**We engage** with multiple levels of technology, from back-office systems of record that feed, access, and aggregate data, to process integration with workflows across systems, to the applications that provide better access to government for community residents. We provide end-to-end software and services options designed to accommodate each client's unique situation, whether they're moving from manual processes or already engaged in advanced digital workflow.

**We deliver** solutions in multiple ways. From locally installed, client-hosted systems to secure, reliable cloud-based offerings, we facilitate hosting environments that work best for our clients.

**We envision** a dynamic future. Our vision of helping our clients create connected communities – where data, processes, and people work together to make communities safer, smarter, and more responsive – is multilayered, with a long-term roadmap for connecting data between departments and agencies and across jurisdictions and geographical boundaries.

Finally, **we are accountable** to multiple stakeholders, including public servants, community residents, our employees, and our shareholders, and we take our responsibilities to each of these groups very seriously.

We empower the people who serve the public in multiple ways every day.





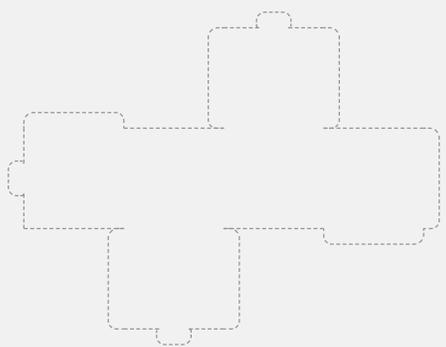
The integrated software and technology services Tyler provides to the public sector help make government more responsive to the people it serves.

At Tyler Technologies, our **singular focus** is on providing powerful software and information technology to the public sector. Our successful growth is a direct result of our ability to consistently deliver on this mission with **multiple dimensions** of solutions.



**1** Separate page at perforation.

**2** Separate cube at perforations, fold, and assemble into cube.



SINGULAR FOCUS

MULTIPLE DIMENSIONS

## Empowering Greater Client Performance

Performance Optimization

Citizen Engagement

Operational Intelligence

Financial Insights

Analysis & Visualization

## Reaching New Levels of Success

**\$1.09B** GAAP Revenues in 2019

**16.2%** Revenue Growth Over 2018

**33** Consecutive Quarters of Double-Digit Growth





## To Our Fellow Shareholders

### **A MESSAGE FROM PRESIDENT & CEO LYNN MOORE JR.**

In 2019, Tyler Technologies achieved another year of double-digit growth and strong financial results, with significant acquisitions, powerful research and development investments, and the major milestone of realizing more than \$1 billion in revenues for the first time. Our continued success validates our strategy of a singular focus of serving the mission-critical needs of the public sector, backed by a strong balance sheet and strategic investments that bolster our market leadership. This singular focus is executed through multiple dimensions of products and services, technologies, and markets served.

# 33

consecutive quarters  
of double-digit growth

# 28.6%

increase in  
R&D investment

# \$254.7M

cash provided  
by operations



**“One notable win  
was the largest  
contract in  
Tyler history...  
valued at  
approximately  
\$85 million.”**



## Becoming a Billion Dollar Company

In 2019, Tyler achieved total GAAP revenues of \$1.086 billion, an increase of 16.2% from 2018. The fourth quarter of 2019 was our 33rd consecutive quarter of double-digit revenue growth. Non-GAAP revenue increased to \$1.091 billion, a 16.1% increase. In addition, organic growth accelerated in each of the last three quarters of the year.

GAAP net income for 2019 was \$146.5 million, or \$3.65 per diluted share, down 0.6%. The decline is primarily due to higher amortization of intangible assets related to acquisitions. Non-GAAP net income for the year was \$212.6 million, or \$5.30 per diluted share, a 10.3% increase.

In 2019, cash provided from operations rose 1.8% from 2018 to \$254.7 million; free cash flow declined 4.5%. Our backlog at year's end was \$1.46 billion, up 16.9% from the previous year's record level.

## Strong Win Rates

Win rates in 2019 were solid across all our solution suites. One notable win was the largest contract in Tyler history: a 10-year software-as-a-service (SaaS) arrangement with the state of North Carolina for our Odyssey<sup>®</sup> courts suite and e-filing services, valued at approximately \$85 million and our 15th statewide Odyssey contract. Another major Odyssey SaaS subscription with Bexar County, Texas, was valued at \$20 million.

Other prominent 2019 wins include:

### City of Stockton, California

A \$9.9 million contract with Tyler solutions, including Munis<sup>®</sup> ERP, Tyler EAM<sup>™</sup> (Enterprise Asset Management), ExecuTime<sup>™</sup>, and Socrata<sup>®</sup>

### District of Columbia

A \$7.7 million SaaS arrangement for Odyssey court case management

### Guilford County, North Carolina

A \$5 million contract for Munis ERP

### Union County Public Schools, North Carolina

A \$4.3 million SaaS arrangement for Munis ERP

### Minneapolis, Minnesota

A \$3.3 million SaaS contract for iasWorld Tax™

### Berks County, Pennsylvania

A \$2.9 million contract for iasWorld Tax

### Cleveland, Ohio, Municipal Courts

A \$2.8 million arrangement for Odyssey court case management

### Ramsay County, Minnesota

A \$2.5 million contract with Tyler solutions, including iasWorld Tax and iasWorld Public Access™

### Broken Arrow, Oklahoma

A \$1.8 million deal with Tyler solutions, including Munis, Tyler EAM, ExecuTime, and Socrata Open Finance™

## The Shift to the Cloud

As the landmark North Carolina and Bexar County contracts mentioned above suggest, we are seeing a continuing shift to preferences for our SaaS model as opposed to our licensed, on-premises model.

In 2019, for the first time, subscription-based arrangements made up a majority of our new software contract value – 63%. Of our software revenue, \$296 million was from subscriptions and \$531 million from license and maintenance arrangements.

Although the ongoing shift to subscription arrangements creates a near-term headwind to revenue growth, it provides a long-term opportunity for significantly higher revenues over the life of a client relationship. Bookings growth in 2019 of 32.3% was strong, as we signed 1,109 new software contracts in 2019, with 54% being subscription arrangements.

Going forward, Tyler remains committed to meeting our clients' software needs, whether their preference is for SaaS or on-premises solutions.



**“In 2019, for the first time, subscription-based arrangements made up a majority of our new software contract values.”**



SOFTWARE REVENUES

**\$296M**

subscription  
revenue

**\$531M**

license &  
maintenance revenue

NEW CLOUD CONTRACTS

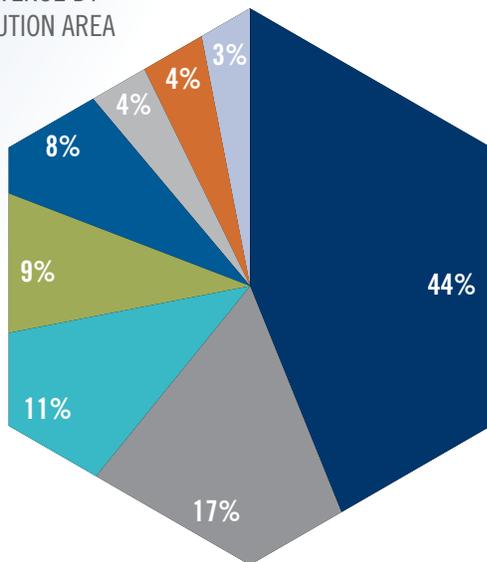
**63%**

of total contract value of  
new software arrangements,  
up from 41% in 2018

## Accelerating Our Move to the Cloud Through a New Strategic Partnership

To more efficiently accommodate our public sector clients who desire public-cloud-based solutions, Tyler entered into a strategic collaboration agreement with Amazon Web Services (AWS) in the fourth quarter of 2019. The agreement deepens our existing relationship, leveraging the AWS cloud to lay the groundwork for the future of cloud services for the public sector. As Tyler continues to evolve its applications in response to our clients' needs, this collaboration will allow clients to deliver better experiences for citizens and further enable governments to use data as a strategic asset in the design, management and delivery of programs.

REVENUE BY SOLUTION AREA



- ERP/Financial: 44%
- Courts & Justice: 17%
- Public Safety: 11%
- Appraisal & Tax: 9%
- Platform Technologies\*: 8%
- K-12 Schools: 4%
- Civic Services: 4%
- Land & Vital Records: 3%

\*Includes Socrata and MicroPact revenue

## Strategic Acquisitions

As our 11 acquisitions in the past three years demonstrate, Tyler is always ready to build value by opportunistically acquiring strategic assets that broaden our capabilities, strengthen our competitive position, and expand our addressable market.

2019 acquisitions include:

**MicroPact**, which augments our product solutions with a versatile, low-code development platform, positions us in new practice areas, and presents opportunities to expand across new markets, including the federal space.

**MyCivic™**, which elevates our citizen-facing solutions by enabling clients to provide a single app for citizens to interact with their local government in multiple ways.

**Courthouse Technologies**, which enhances our existing offerings for courts with a SaaS jury management systems solution.

## Growth-Focused Research and Development

In 2019, we saw our second consecutive year of increasing R&D investment. Our total R&D spend in 2019 grew by 28.6% to \$81.3 million. We devoted our increased R&D dollars broadly across our solutions suites, adding new features and applications that will meet the evolving needs of our clients, solidify our market leadership, and drive future growth.

Though our increased R&D investment has created a short-term headwind to margin expansion, we believe the long-term results that new and enhanced products will realize in the market in the years ahead will strengthen our ability to compete and succeed. As we move into 2020, we will continue to invest strategically as opportunities arise; however, we expect R&D growth to moderate over time, expanding more in line with revenue growth.

## Maintaining a Strong Balance Sheet

We finished 2019 with an extraordinarily strong balance sheet, giving us tremendous flexibility to take advantage of opportunities to build shareholder value – whether through internal investments, acquisitions, or stock repurchases. As of December 31, 2019, Tyler Technologies had zero debt, \$314 million in cash and investments, and \$400 million in available liquidity from our new revolving credit facility.

## Looking Ahead

As I complete my first full year as Tyler's CEO, I'm honored to work each day with such a talented and dedicated team. This was a year of milestones for Tyler, and we pause here to celebrate them – and the Tyler team members who make these milestones possible – as we remain focused on finding new ways to serve the public sector even more effectively in the years ahead.



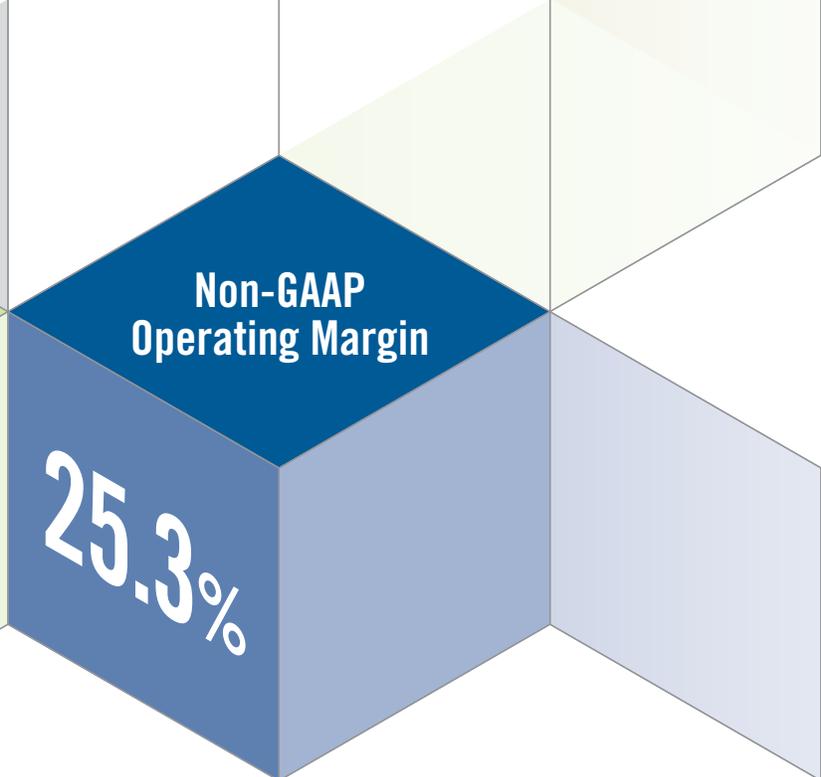
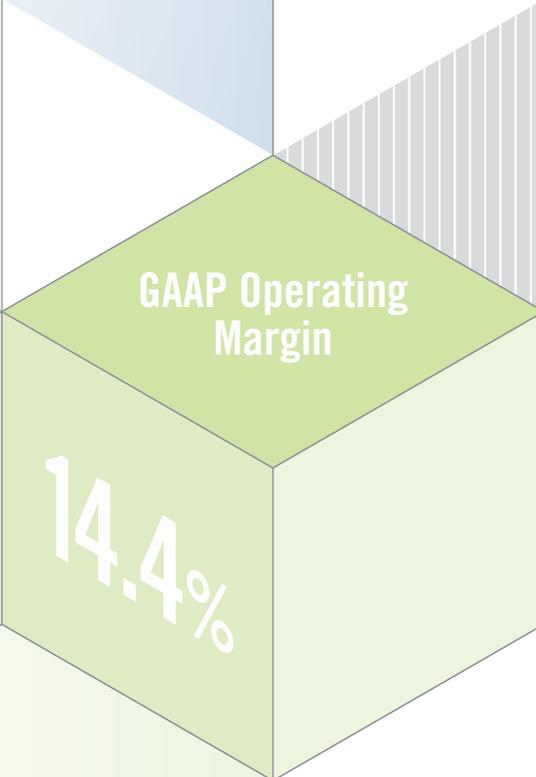
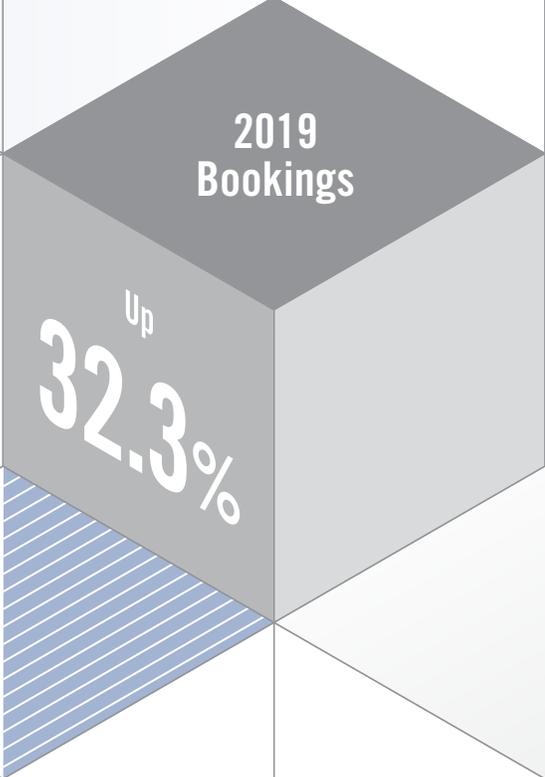
**H. Lynn Moore, Jr.**

President & Chief Executive Officer  
February 18, 2020

**0**  
debt

**\$314M**  
in cash and investments

**\$400M**  
in available liquidity  
from our new revolving  
credit facility



# 2019 Financial Highlights

GAAP  
Revenues

\$1.09B

+16.2%  
from 2018

Backlog

\$1.46B

+16.9%  
from 2018

GAAP  
Net Income

\$146.5M

\$3.65  
per diluted share

Non-GAAP  
Net Income

\$212.6M

\$5.30  
per diluted share

# Reaching New Heights

A YEAR OF MILESTONES

TYLER CONNECT  
CONFERENCE ATTENDANCE

6,868

SINGLE  
CONTRACT VALUE

\$85M

for NC Courts Deal

NUMBER OF  
TEAM MEMBERS

5,500

R&D INVESTMENT

\$81M

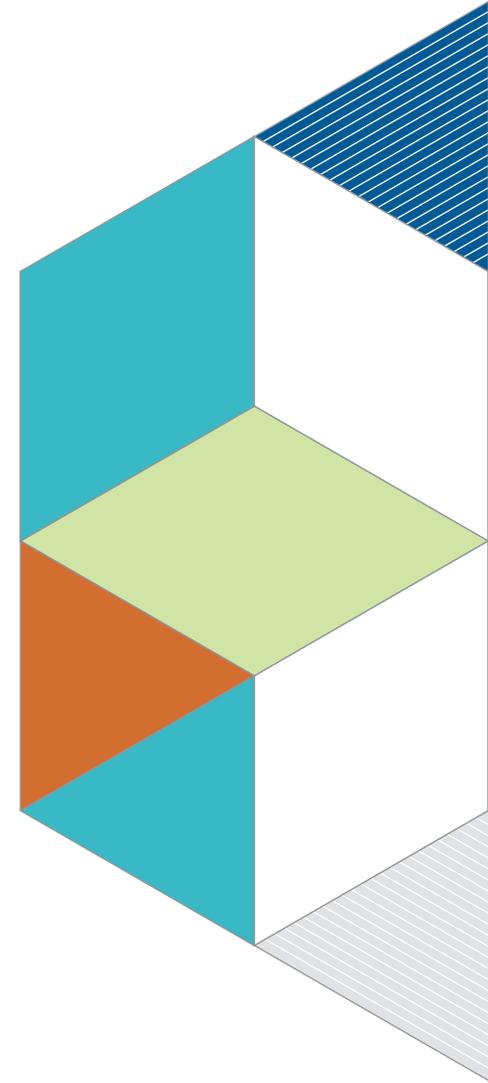
REVENUES

\$1.09B

IN 2019, TYLER  
TECHNOLOGIES  
REACHED SEVERAL  
MAJOR MILESTONES:

Public Administration

The annual Tyler Connect conference, with former President George W. Bush as featured speaker, saw record attendance in 2019.



# A Singular Focus, a Solid Foundation

Tyler Technologies is the largest software company focused exclusively on serving the public sector. Our financial strength, deep expertise, and breadth of solutions have provided the foundation for steady growth and market leadership.



SERVING AT THE

# CITY LEVEL

## MAKING DATA SHARING MORE COMPLETE IN ST. PETE

The city of St. Petersburg, Florida, is working with Tyler to build on the success of its Socrata-powered StPeteStat open data portal. StPeteStat is expanding from 12 to 18 city departments, enabling them to use dynamic, real-time data to improve program performance and service delivery, informing mission-critical decisions about water, planning, code compliance and more. The portal also allows the public to see how the city is responding to common constituent issues.

**3,500**

City employees

**270,000**

Residents

**18**

City departments  
with StPeteStat

Average time to conduct  
city fire inspections

Before StPeteStat:

**103 days**

After StPeteStat:

**4 days**



Saint Petersburg

## Dimensions of Experience

With decades of experience exclusively focused on the public sector, Tyler is a stable presence in a fragmented market. The fact is, we know the public sector like no one else.

Of our 5,500+ team members, 1 out of 3 has worked in the public sector.

Tyler has successfully completed 26K+ implementations, across 10K+ locations.

We have public sector clients in all 50 states plus Canada, the Caribbean, Australia, Europe, and other international locations.

Moreover, Tyler offers the widest range of solutions for the public sector, including:

- Appraisal & Tax
- Civic Services
- Corrections
- Courts & Justice
- Cybersecurity
- Data & Insights
- ERP Financial
- Health & Human Services
- Land & Official Records
- Public Safety
- Regulatory
- School Financial
- Student Information
- Student Transportation

Clients appreciate both the depth of our experience and the breadth of our solutions. Indeed, our client retention rate is 98%.



Tyler Corporate Officers and Operational Leadership

## The Human Dimension



### Tyler cares about our people.

We were voted a *Best Place to Work* at locations around the country in 2019, including in the State of Maine, in Troy, Michigan, and in Washington, D.C. Also in 2019, Tyler was named to *Forbes* Best Midsized Employers list and to *Forbes* Best Employers for Diversity as well.

### Our people care about their communities.

Tyler employees support many local community efforts. Examples include supporting families in need, feeding the hungry, and funding STEM education for at-risk children.

In 2019, our employees volunteered 4,000+ hours in community service, and fundraised over \$30,000.

Tyler employees also donated:

- 10,000+ pairs of socks for the homeless
- 1,000+ pounds of non-perishable food for low-income, homeless or other in-need individuals
- 500+ pounds of dog food for pets in need
- Hundreds of holiday gifts for underprivileged youths
- Hundreds of meals for low income, homeless or other in-need individuals

### As a company, Tyler supports community causes.

Over the past five years, Tyler Foundation charitable contributions have totaled \$1.27M.

In 2019, the company's efforts included Tyler Foundation's \$372,500 in monetary donations, including disaster relief.

Also in 2019, Tyler donated both software and time to *Both Ends Believing*, Tyler's nonprofit partner benefiting children in institutional care.



100 travel-sized toiletry bags were made out of a recycled banner from the Tyler Connect 2019 user conference, filled with essentials donated by employees, and donated to the Genesis Women's Shelter in Dallas.

SERVING AT THE  
**COUNTY  
LEVEL**



**LIVE FROM  
LUBBOCK COUNTY**

Tyler is helping Lubbock County, Texas, become a connected community by overhauling many of its legacy software systems with our sophisticated public safety, civil process, ERP, and court case management solutions. In 2019, Lubbock County went live with a range of interconnected solutions from Tyler, including our New World™ Enterprise CAD (computer-aided dispatch), Mobile Messenger™, and mobility solutions. Phase 2 will include New World Enterprise RMS (record management system) and Field Reporting™. In subsequent phases, additional Tyler solutions will be implemented.

**278.8K**  
Residents

**~1,300**  
County employees

**Additional Tyler solutions for  
Lubbock County include:**

- Brazos™
- SoftCode™
- Odyssey
- Munis



# Adding Dimensions, Investing in the Future

Tyler's market leadership puts us in a unique position to take a long-term view on how to serve our public sector clients in better and broader ways in the years ahead, while we continue to grow. Tyler builds shareholder value through investments in research and development that allow us to improve and expand our solutions; through strategic acquisitions that broaden our capabilities and expand our addressable markets; and by the opportunistic repurchasing of Tyler stock.

## Deepening Our Capabilities Through Acquisitions

### 2018 Acquisitions

Socrata  
Sage Data Security  
CaseloadPRO™  
MobileEyes™  
SceneDoc™

### 2019 Acquisitions

MicroPact  
MyCivic  
Courthouse Technologies

#### 2019 Acquisition Details



**Acquired:**  
February 2019

**Investment:**  
\$4M

**Expertise:**  
Citizen engagement applications

**Added dimension:**  
One app that lets citizens interact with local government in myriad ways



**Acquired:**  
February 2019

**Investment:**  
\$195M

**Expertise:**  
Case management and business process management software

**Added dimension:**  
New ability to serve federal and health and human services clients



**Acquired:**  
October 2019

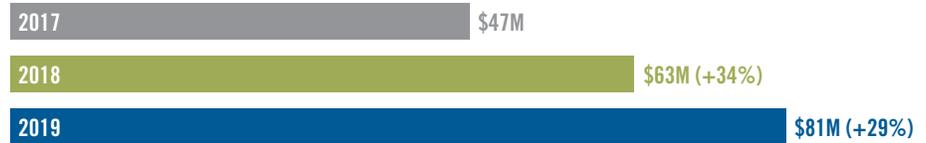
**Investment:**  
\$20M

**Expertise:**  
Jury management systems

**Added dimension:**  
Leverages Tyler's existing courts and justice sales organization and client base

## Developing New Dimensions Through R&D

### R&D Investment



2nd consecutive year of record R&D investment

### Tyler's 2019 R&D investment was:

- Focused across all product suites
- Oriented toward long-term growth
- Improving existing products
- Developing new products
- Integrating products from acquired companies
- Broadening our addressable market



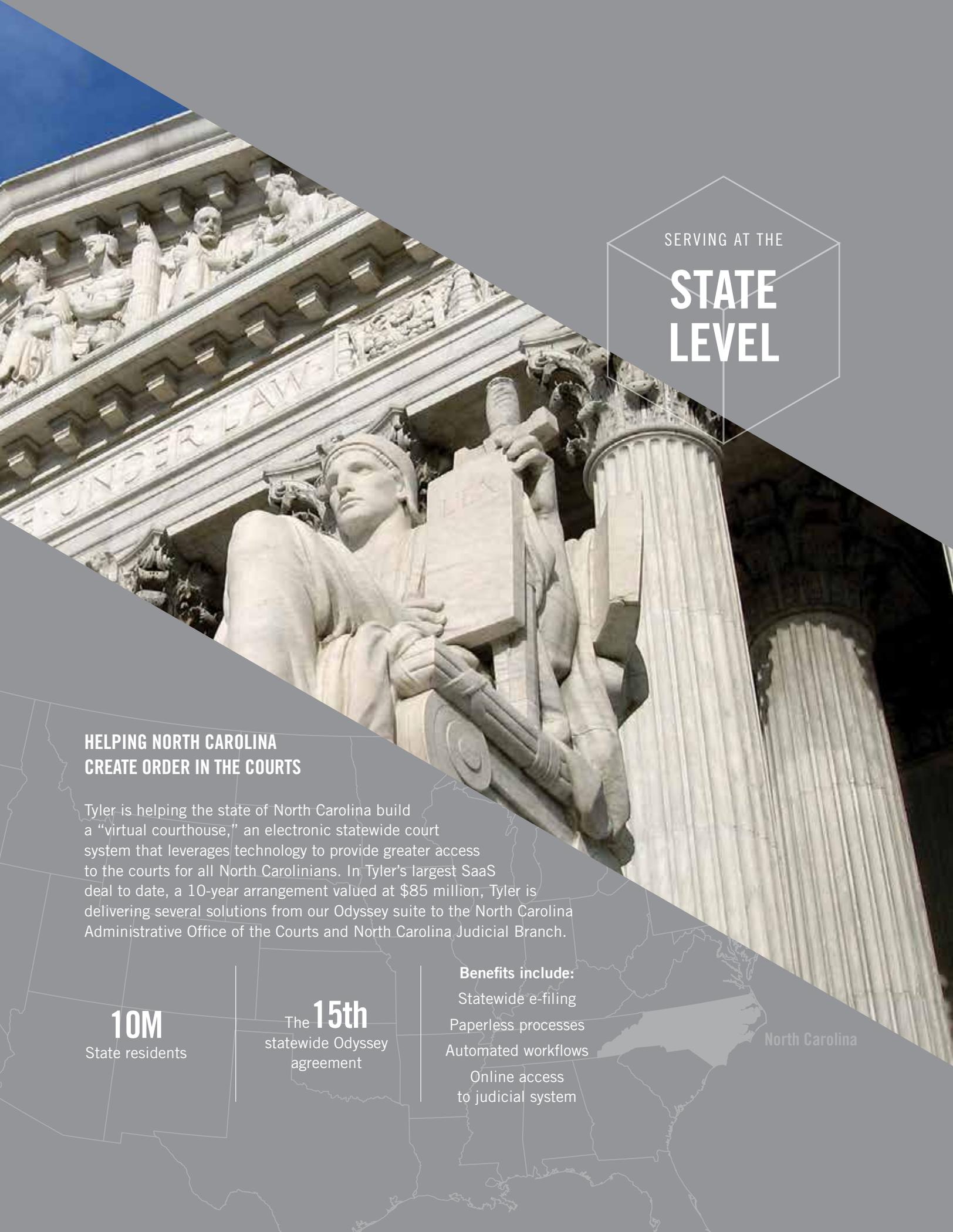
Tyler employs 1,100 software engineers, whose skills contribute to the strength of the company's R&D efforts.



Tyler's R&D investments span all our solutions, including those optimized for schools and public safety.

## R&D Impact Snapshot





SERVING AT THE  
**STATE  
LEVEL**

### HELPING NORTH CAROLINA CREATE ORDER IN THE COURTS

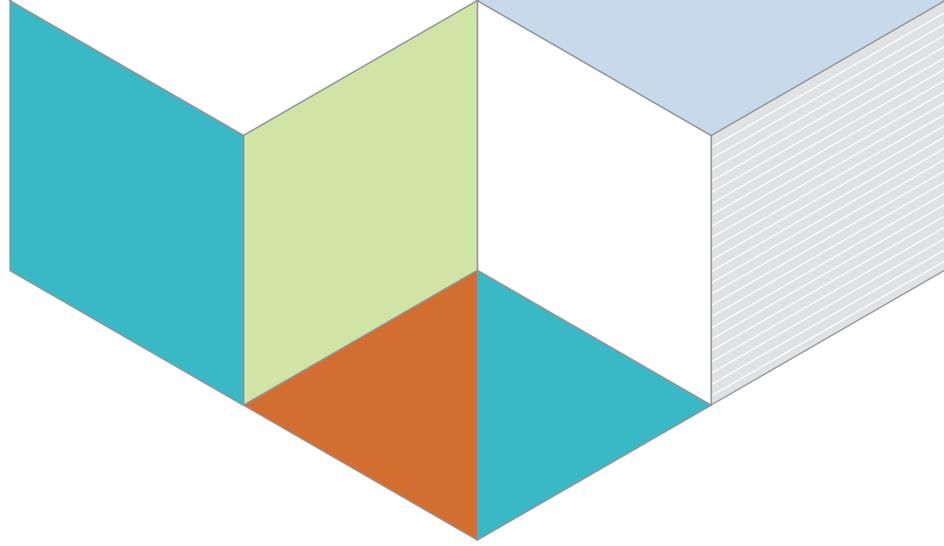
Tyler is helping the state of North Carolina build a “virtual courthouse,” an electronic statewide court system that leverages technology to provide greater access to the courts for all North Carolinians. In Tyler’s largest SaaS deal to date, a 10-year arrangement valued at \$85 million, Tyler is delivering several solutions from our Odyssey suite to the North Carolina Administrative Office of the Courts and North Carolina Judicial Branch.

**10M**  
State residents

The **15th**  
statewide Odyssey  
agreement

- Benefits include:**
- Statewide e-filing
  - Paperless processes
  - Automated workflows
  - Online access to judicial system

North Carolina



# Moving Closer to Truly Connected Communities

Our vision is to help create connected communities that use technology to seamlessly connect data, people, and processes across department and geographic boundaries. Realizing this vision depends on a digital infrastructure of multi-layered, cloud-based solutions, and requires state-of-the-art security, systems, and protocols.

## Connecting Through Technology



We have continued work on Tyler's citizen portal, a single point for digital services for community residents from their local governments. Using a single login and a shared profile provided by **Tyler Identity™**, citizens receive personalized experiences that span jurisdictional and geographic boundaries, either from the web or a mobile device. Citizens can sign up to receive notifications via SMS or email when bills are due or licenses need renewing, when important events are happening in their city, or when issues are impacting their neighborhood. A shared shopping cart and checkout experience make it easy to securely transact business with their local government.

**Tyler's Virtual Court™** application will help citizens stay connected to their government on their schedule. Rather than go to the courthouse to deal with a traffic ticket, constituents can now have their case adjudicated online from the comfort of their home or business. Using integrated video conferencing and document sharing, defendants can work with a judge and clerk in real time, online, from the web or a mobile device. Any resulting fines and fees can be paid immediately using the online payment system provided by the application.



The **Tyler Nexus™** initiative simplifies processes commonly executed by local governments by connecting related business functions required in public administration. By sharing data and streamlining processes across previously siloed departments, clients are able to more efficiently manage important services that citizens expect. The Nexus initiative has brought focus and improved connections between **Munis**, **EnerGov™**, and **Tyler EAM**, offering seamless connections in critical processes such as streamlined citizen engagement, integrated asset management, and comprehensive collections functions. Additionally, the Nexus initiative has prioritized development efforts that support the land development process by bringing together recording, tax, and planning and permitting to support data sharing in typically distinct areas of city and county government. In addition to streamlining workflow across Tyler products, the Nexus initiatives continue to drive innovation and new development efforts such as **Tyler Hub™**, Tyler Identity and **Socrata** applications, all designed to enhance usability and unify client experience across products.

The **Tyler Alliance™** initiative continues to make progress on our ‘dispatch-to-disposition’ goals for data and process sharing. Investments in **Tyler Corrections™** provide a link between the **New World** public safety suite of dispatch and records applications and **Tyler Supervision™** and **Odyssey** applications, seamlessly sharing data and business processes across these typically siloed departments and domains.

Tyler is also investing in connecting data and insights products with all Tyler solution areas, creating analytical capabilities across public safety, appraisal and tax, and ERP domains that help promote better data-driven decision making. Built on the **Socrata** platform, these out-of-the-box solutions can be deployed quickly and easily and provide users with a data- and visualization-rich experience that helps them focus on improved outcomes in policing, property taxes, and financial management areas.

In addition to a company-wide development effort supporting our Connected Communities vision, developers continue to engineer and enhance our core applications. These include features to help clients manage assets, optimize performance, and improve the user experience. We also continue to better position our products for cloud-friendly implementations.



**In connected communities,  
data can be quickly shared and  
acted upon for public good.**

SERVING AT THE  
**FEDERAL  
LEVEL**

**HELPING A NEW AIR FORCE  
JUSTICE SYSTEM TAKE OFF**

Acquired by Tyler in 2019, MicroPact has strong relationships with local, state, and federal clients, including the United States Air Force. The USAF reached go-live in 2019 for the Air Force Justice Information System (AFJIS), a single platform to collect and manage the data associated with law enforcement at its bases around the world. The core of AFJIS is MicroPact's Entellitrak® case management platform, which allows the USAF to conduct criminal justice activities more efficiently and effectively with the most modern criminal data reporting system in the Department of Defense.

**260+**

USAF personnel have had AFJIS training conducted by Tyler in the system's first few months

**25K**

USAF personnel will be trained by partners who complete the Tyler training

**AFJIS will help  
the USAF:**

- Conduct investigations
- Track data on people in custody
- Deploy data analytics on criminal activity

## Forming Powerful Partnerships

Cloud-based solutions can provide a number of benefits for public sector clients, including always up-to-date technology, continuous delivery, and business continuity in the event of natural disaster or other unexpected events.

**As we see a clear trend in increasing client preference for cloud solutions, Tyler's cloud strategy continues to evolve in response to market forces and client needs.**

To support cloud-based public sector solutions going forward, Tyler announced our strategic collaboration with Amazon Web Services (AWS) in 2019.

Our agreement with AWS provides an enhanced framework for ongoing development, training and collaboration. We will be able to provide even stronger service to our clients, as we support next-generation applications with superior scalability, resiliency and security.



Use of the cloud is creating new opportunities for citizens to connect with their government.

## Supporting Security

### Ransomware, cyberattacks and other security threats are on the rise for the public sector.

In 2019, to better address growing public sector security needs, we introduced Tyler Cybersecurity™, formerly Sage Data Security (acquired in 2018).

Tyler Cybersecurity offers the public sector:

- Tyler Detect™, our managed threat detection service
- Program development
- Education and training
- Technology testing and assessment
- Advisory services
- Digital forensics

## Securing Our Solutions

With a constantly changing landscape of cybersecurity challenges, Tyler takes a continual improvement approach to managing product security, including its cloud-based applications. Tyler has a full-time application security team dedicated to continuously reviewing and enhancing the security posture of Tyler's products. Tyler uses enterprise-level dynamic and static security scanning tools as part of our software development lifecycle. In addition to scanning tools, Tyler's application security team executes manual assessments on Tyler products using a testing methodology based upon the OWASP (Open Web Application Security Project) Testing Framework.



## Focusing Our Efforts

Tyler consolidated its security efforts under a newly organized Information Security Office in 2019 to monitor internal security infrastructure, improve processes, and consult with product security teams.

Security measures can be organized into four major categories of control:

- 1. Administrative** Information security begins when a company organizes itself to emphasize security and ensure human resource processes are in place to help facilitate security. Tyler's human resource practices are designed and implemented to support the security of company and client data.
- 2. Physical Access** The time-tested basics of locked doors and physically secure facilities should not be overlooked in favor of relying only on technology. Tyler invests in secure data centers and associated practices.
- 3. Logical Access** Tyler's software is designed and built with authentication, authorization, and accountability in mind. The software includes robust controls to secure access to client data.
- 4. Secure Architecture** Tyler's secure network architecture hosts solutions that are secured through a layered series of barriers and monitoring tools that are designed to detect and defeat unauthorized attempts to reach client data. Tyler administers multiple controls through secure portals for clients, managed coding practices, source code controls, applied industry standards, and continual review and monitoring.



## Applying Standards

Local governments are increasingly adopting more rigorous security standards such as FedRAMP, even though FedRAMP standards were developed by and for federal implementations. Two Tyler solutions meet stringent FedRAMP federal security assessment, authorization, and continuous monitoring standards for cloud products used by federal agencies:

- Socrata, a data and insights solution
- Entellitrak, a case management solution

While FedRAMP requirements were intended for federal contracts, both of these Tyler products are available to clients at all levels of government.

Tyler is vigilant about security in all areas of our business.



SERVING AT THE  
**INTERNATIONAL  
LEVEL**

 New Providence

## UNCOMMON EXPERTISE FOR THE COMMONWEALTH OF THE BAHAMAS

With our CLT Appraisal Services™, Tyler is helping the Ministry of Finance for the Government of the Bahamas and its Real Property Tax Valuation Unit update property values to ensure equitable taxation for owners. This new \$7.2 million agreement builds on the past success of Tyler's work in the commonwealth, which included collecting images and verifying property data on more than 68,000 parcels located on the island of New Providence, the most populous island and home of the capital of the Bahamas. The commonwealth is also using our iasWorld® appraisal and tax administration software across all islands.

**395K**

Residents

**6.6K** properties have been reappraised in a pilot project on the island of New Providence in preparation to reappraise all residential and commercial properties on the island.

**35M**

properties in the U.S. and abroad have been appraised by Tyler's CLT Appraisal Services.



For Tyler, our most important partnership is with our public sector clients, allowing us to work together to make government more responsive to citizens everywhere.

We never waver from our **singular focus** on serving the public sector.

We continually look to deepen the **multiple dimensions** we use to empower the people who serve the public.



# 2019

Financial  
Information



## Reconciliation of GAAP to NON-GAAP Financial Measures (Unaudited)

(In thousands, except per share data)	2019	2018	2017	2016	2015
<b>RECONCILIATION OF NON-GAAP TOTAL REVENUES</b>					
GAAP total revenues	\$1,086,427	\$935,282	\$840,899	\$759,880	\$591,022
Non-GAAP adjustments:					
Add: Write-downs of acquisition-related deferred revenue	4,557	4,000	663	15,063	3,186
Add: Amortization of acquired leases	372	426	444	444	37
Non-GAAP total revenues	\$1,091,356	\$939,708	\$842,006	\$775,387	\$594,245
<b>RECONCILIATION OF NON-GAAP GROSS PROFIT AND MARGIN</b>					
GAAP gross profit	\$ 516,900	\$439,578	\$399,377	\$359,188	\$277,187
Non-GAAP adjustments:					
Add: Write-downs of acquisition-related deferred revenue	4,557	4,000	663	15,063	3,186
Add: Amortization of acquired leases	372	426	444	444	37
Add: Share-based compensation expense included in cost of revenues	15,002	13,588	9,415	6,548	3,380
Add: Amortization of acquired software	30,642	22,972	21,686	22,235	4,440
Non-GAAP gross profit	\$ 567,473	\$480,564	\$431,585	\$403,478	\$288,230
GAAP gross margin	47.6%	47.0%	47.5%	47.3%	46.9%
Non-GAAP gross margin	52.0%	51.1%	51.3%	52.0%	48.5%
<b>RECONCILIATION OF NON-GAAP OPERATING INCOME AND MARGIN</b>					
GAAP operating income	\$ 156,367	\$152,492	\$162,758	\$137,656	\$108,043
Non-GAAP adjustments:					
Add: Write-downs of acquisition-related deferred revenue	4,557	4,000	663	15,063	3,186
Add: Amortization of acquired leases	372	426	444	444	37
Add: Share-based compensation expense	59,967	52,740	37,348	29,747	20,182
Add: Employer portion of payroll tax related to employee stock transactions	1,745	1,412	1,102	1,001	1,506
Add: Acquisition-related costs	1,142	-	-	-	5,875
Add: Amortization of acquired software	30,642	22,972	21,686	22,235	4,440
Add: Amortization of customer and trade name intangibles	21,445	16,217	13,381	13,202	5,905
Non-GAAP adjustments subtotal	\$ 119,870	\$ 97,767	\$ 74,624	\$ 81,692	\$ 41,131
Non-GAAP operating income	\$ 276,237	\$250,259	\$237,382	\$219,348	\$149,174
GAAP operating margin	14.4%	16.3%	19.4%	18.1%	18.3%
Non-GAAP operating margin	25.3%	26.6%	28.2%	28.3%	25.1%
<b>RECONCILIATION OF NON-GAAP NET INCOME AND EARNINGS PER SHARE</b>					
GAAP net income	\$ 146,527	\$147,462	\$169,571	\$113,701	\$ 64,869
Non-GAAP adjustments:					
Add: Total non-GAAP adjustments to operating income	119,870	97,767	74,624	81,692	41,131
Less: Tax impact related to non-GAAP adjustments	(53,819)	(52,464)	(89,440)	(56,045)	(13,318)
Non-GAAP net income	\$ 212,578	\$192,765	\$154,755	\$139,348	\$ 92,682
GAAP earnings per diluted share	\$ 3.65	\$ 3.68	\$ 4.32	\$ 2.92	\$ 1.77
Non-GAAP earnings per diluted share	\$ 5.30	\$ 4.80	\$ 3.94	\$ 3.58	\$ 2.54
<b>DETAIL OF SHARE-BASED COMPENSATION EXPENSE</b>					
Cost of software services, maintenance and subscriptions	\$ 15,002	\$ 13,588	\$ 9,415	\$ 6,548	\$ 3,380
Selling, general and administrative expenses	44,965	39,152	27,933	23,199	16,802
Total share-based compensation expense	\$ 59,967	\$ 52,740	\$ 37,348	\$ 29,747	\$ 20,182

## Stock Market Data

Our common stock is traded on the New York Stock Exchange under the symbol “TYL.” At December 31, 2019, we had approximately 1,215 shareholders of record. Most of our shareholders hold their shares in street name; therefore, there are substantially more than 1,215 beneficial owners of our common stock.

The following table shows, for the calendar periods indicated, the high and low sales price per share of our common stock as reported on the New York Stock Exchange.

		High	Low
2018	First Quarter	\$ 214.33	\$ 176.93
	Second Quarter	240.35	201.91
	Third Quarter	252.47	219.59
	Fourth Quarter	246.62	173.26
2019	First Quarter	\$ 217.89	\$ 176.27
	Second Quarter	233.15	203.77
	Third Quarter	265.00	217.19
	Fourth Quarter	301.39	245.00

We did not pay any cash dividends in 2019 or 2018. Our bank credit agreement contains restrictions on the payment of cash dividends. We intend to retain earnings for use in the operation and expansion of our business and do not anticipate paying a cash dividend in the foreseeable future.

## Selected Financial Data

Years Ended December 31,	2019 <sup>(a)</sup>	2018	2017 <sup>(b), (c)</sup>	2016 <sup>(b)</sup>	2015
(In thousands, except per share data)					
<b>STATEMENT OF OPERATIONS DATA:</b>					
Revenues	\$ 1,086,427	\$ 935,282	\$ 840,899	\$ 759,880	\$ 591,022
Cost and expenses:					
Cost of revenues	569,527	495,704	441,522	400,692	313,835
Selling, general and administrative expenses	257,746	207,605	175,914	165,176	133,317
Research and development expense	81,342	63,264	47,324	43,154	29,922
Amortization of customer and trade name intangibles	21,445	16,217	13,381	13,202	5,905
Operating income	156,367	152,492	162,758	137,656	108,043
Other income, net	3,471	3,378	698	(1,998)	381
Income before income taxes	159,838	155,870	163,456	135,658	108,424
Income tax (benefit) provision (c)	13,311	\$ 8,408	\$ (6,115)	\$ 21,957	\$ 43,555
Net income	146,527	147,462	169,571	113,701	64,869
Net earnings per diluted share	\$ 3.65	\$ 3.68	\$ 4.32	\$ 2.92	\$ 1.77
Weighted average diluted shares	40,105	40,123	39,246	38,961	36,552
<b>STATEMENT OF CASH FLOWS DATA:</b>					
Cash flows provided by operating activities	\$ 254,720	\$ 250,203	\$ 195,755	\$ 191,859	\$ 134,327
Cash flows used by investing activities	(245,015)	(238,255)	(85,395)	(50,720)	(398,459)
Cash flows (used) provided by financing activities	88,698	(63,595)	39,415	138,075	91,052
<b>BALANCE SHEET DATA:</b>					
Total assets	\$ 2,191,614	\$ 1,790,963	\$ 1,611,351	\$ 1,378,502	\$ 1,356,570
Revolving line of credit	—	—	—	10,000	66,000
Shareholders' equity	1,617,058	1,324,846	1,191,736	934,540	858,857

(a) Reflects the impact of the adoption of Accounting Standards Update ("ASU") ASU No. 2016-02, Leases ("Topic 842") in fiscal year 2019. Refer to Note - 1 "Summary of Significant Accounting Policies" for further discussion.

(b) Reflects the impact of the adoption of ASU No. 2014-09, Revenue from Contracts with Customers in fiscal year 2018.

(c) 2017 includes the significant impact of the enactment of the Tax Cuts and Jobs Act ("Tax Act"). The most significant impact of the Tax Act to us is the reduction in the U.S. federal corporate income tax rate from 35% to 21%. The impact of the rate reduction on our 2017 income tax provision is a \$26.0 million tax benefit due to the remeasurement of deferred tax assets and liabilities.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### FORWARD-LOOKING STATEMENTS

In addition to historical information, this Annual Report contains forward-looking statements. The forward-looking statements are made in reliance upon safe harbor provisions of the Private Securities Litigation Reform Act of 1995. The forward-looking statements are subject to certain risks and uncertainties that could cause actual results to differ materially from those reflected in the forward-looking statements. Readers are cautioned not to place undue reliance on these forward-looking statements, which reflect management's opinion only as of the date hereof. We undertake no obligation to revise or publicly release the results of any revisions to these forward-looking statements. Readers should carefully review the risk factors described in documents we file from time to time with the Securities and Exchange Commission.

When used in this Annual Report, the words "believes," "expects," "anticipates," "foresees," "forecasts," "estimates," "plans," "intends," "continues," "may," "will," "should," "projects," "might," "could" or other similar words or phrases are intended to identify forward-looking statements. Similarly, statements that describe our business strategy, outlook, objectives, plans, intentions or goals also are forward-looking statements.

### OVERVIEW

#### General

We provide integrated information management solutions and services for the public sector, with a focus on local governments. We develop and market a broad line of software products and services to address the IT needs of cities, counties, schools and other local government entities. In addition, we provide professional IT services to our clients, including software and hardware installation, data conversion, training and for certain clients, product modifications, along with continuing maintenance and support for clients using our systems. We also provide subscription-based services such as software as a service ("SaaS"), which primarily utilize the Tyler private cloud, and electronic document filing solutions ("e-filing"), which simplify the filing and management of court related documents. Revenues for e-filing are derived from transaction fees and, in some cases, fixed fee arrangements. Other transaction-based fees primary relate to online payment services. We also provide property appraisal outsourcing services for taxing jurisdictions.

Our products generally automate eight major functional areas: (1) financial management and education, (2) courts and justice, (3) public safety, (4) property appraisal and tax, (5) planning, regulatory and maintenance, (6) land and vital records management, (7) data and insights and (8) case management and business process management. We report our results in two segments. The Enterprise Software ("ES") segment provides public sector entities with software systems and services to meet their information technology and automation needs for mission-critical "back-office" functions such as: financial management and education, courts and justice, public safety, planning, regulatory and maintenance, land and vital records management, data and insights and case management and business management processes. The Appraisal and Tax ("A&T") segment provides systems and software that automate the appraisal and assessment of real and personal property as well as property appraisal outsourcing services for local governments and taxing authorities. Property appraisal outsourcing services include: the physical inspection of commercial and residential properties; data collection and processing; computer analysis for property valuation; preparation of tax rolls; community education; and arbitration between taxpayers and the assessing jurisdiction.

Our total employee count increased to 5,368 at December 31, 2019, from 4,525 at December 31, 2018.

For the twelve months ended December 31, 2019, total revenues increased 16% compared to the prior year. Excluding the impact of acquisitions, total revenues increased 8% compared to prior year. Revenues from acquisitions contributed 8% of growth for the twelve months ended December 31, 2019.

Subscriptions revenue grew 34% for the twelve months ended December 31, 2019, due to a gradual shift toward cloud-based, software as a service business, as well as continued strong growth in our e-filing revenues from courts and other transaction-based revenues. Excluding the impact of acquisitions, subscriptions revenue increased 26% for the twelve months ended December 31, 2019.

Our backlog at December 31, 2019 was \$1.46 billion, a 17% increase from last year.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### Recent Acquisitions

On October 30, 2019, we acquired certain assets of Courthouse Technologies, Ltd ("CHT"), an industry-leading provider of jury management systems that offers a fully integrated, end-to-end software-as-a-service (SaaS) solution to manage all facets of juror management, from source list generation to juror processing and payment. The total purchase price was approximately \$20.5 million of which \$19.1 million was paid in cash and approximately \$1.4 million was accrued for working capital and indemnity holdbacks, subject to certain post-closing adjustments.

On February 28, 2019, we acquired all of the capital stock of MP Holdings Parent, Inc. dba MicroPact ("MicroPact"), a leading provider of commercial off-the-shelf ("COTS") solutions, including Entellittrak, a low-code application development platform for case management and business process management used extensively in the public sector. The total purchase price, net of cash acquired of \$2.0 million, was approximately \$202.2 million consisting of \$198.2 million paid in cash and accrued contingent consideration of \$6.0 million, subject to the achievement of certain financial performance objectives.

On February 1, 2019, we acquired all the assets of Civic, LLC ("MyCivic"), a company that provides software solutions to connect communities. The total purchase price was \$3.7 million in cash.

As of December 31, 2019, the purchase price allocations for MicroPact and MyCivic are complete. As of December 31, 2019, the purchase price allocation for CHT is not yet complete, therefore the preliminary valuation estimates of fair value assumed at the acquisition date including intangible assets, receivables and deferred revenue are subject to change as the valuation is finalized.

The operating results of all 2019 acquisitions are included with the operating results of the Enterprise Software segment since their date of acquisition. Revenues from MicroPact included in Tyler's results of operations totaled approximately \$63.0 million and the net loss was approximately \$98,000 for the twelve months ended December 31, 2019. The impact of the MyCivic and CHT acquisitions, individually and in the aggregate, on our operating results, assets and liabilities is not material.

Our balance sheet as of December 31, 2019, reflects the allocation of the purchase price to the assets acquired based on their fair value at the date of each acquisition. The fair value of the assets and liabilities acquired are based on valuations using Level III, unobservable inputs that are supported by little or no market activity and that are significant to the fair value of the assets or liabilities.

We monitor and analyze several key performance indicators in order to manage our business and evaluate our financial and operating performance. These indicators include the following:

**Revenues** — We derive our revenues from five primary sources: sale of software licenses and royalties; subscription-based arrangements; software services; maintenance; and appraisal services. Subscriptions and maintenance are considered recurring revenue sources and comprised approximately 67% of our revenue in 2019. The number of new SaaS clients and the number of existing clients who convert from our traditional software arrangements to our SaaS model are a significant driver to our business, together with new software license sales and maintenance rate increases. In addition, we also monitor our customer base and churn as we historically have experienced very low customer turnover. During 2019, based on our number of customers, turnover was approximately 2%.

**Cost of Revenues and Gross Margins** — Our primary cost component is personnel expenses in connection with providing software implementation, subscription-based services, maintenance and support, and appraisal services to our clients. We can improve gross margins by controlling headcount and related costs and by expanding our revenue base, especially from those products and services that produce incremental revenue with minimal incremental cost, such as software licenses and royalties, subscription-based services, and maintenance and support. Our appraisal projects are cyclical in nature, and we often employ appraisal personnel on a short-term basis to coincide with the life of a project. As of December 31, 2019, our total employee count increased to 5,368 from 4,525 at December 31, 2018.

**Selling, General and Administrative ("SG&A") Expenses** — The primary components of SG&A expenses are administrative and sales personnel salaries and commissions, share-based compensation expense, marketing expense, rent and professional fees. Sales commissions typically fluctuate with revenues and share-based compensation expense generally increases as the market price of our stock increases. Other administrative expenses tend to grow at a slower rate than revenues.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

**Liquidity and Cash Flows** — The primary driver of our cash flows is net income. Uses of cash include acquisitions, capital investments in property and equipment and discretionary purchases of treasury stock. Our working capital needs are fairly stable throughout the year with the significant components of cash outflows being payment of personnel expenses offset by cash inflows representing collection of accounts receivable and cash receipts from clients in advance of revenue being earned. In recent years, we have also received significant amounts of cash from employees exercising stock options and contributing to our Employee Stock Purchase Plan.

**Balance Sheet** — Cash, accounts receivable and days sales outstanding and deferred revenue balances are important indicators of our business.

### Adoption of New Lease Accounting Standard

We adopted Topic 842 using the transition method that allows us to initially apply the guidance at the adoption date of January 1, 2019, and recognized a cumulative-effect adjustment to the opening balance of retained earnings in the period of adoption. We used the package of practical expedients that allows us to not reassess: (1) lease classification for any expired or existing leases and (2) initial direct costs for any expired or existing leases. We did not elect to use the hindsight application for evaluating the life of lease arrangements. The impact of adoption is reflected in the financial information herein. For additional details, see Note 1 - "Summary of Significant Accounting Policies" to our consolidated financial statements in this report.

The impact of Topic 842 on our consolidated balance sheet beginning January 1, 2019, included the recognition of right-of-use ("ROU") assets and lease liabilities for operating leases, while our accounting for finance leases remained substantially unchanged. We had no finance leases prior to the adoption of Topic 842 and currently do not have any.

### Recent Accounting Guidance not yet Adopted

In June 2016, the FASB issued ASU 2016-13, *Financial Instruments - Credit Losses*, ("ASU 2016-13"). ASU 2016-13 changes the impairment model for most financial assets and certain other instruments, including trade and other receivables, held-to-maturity debt securities and loans, and requires entities to use a new forward-looking expected loss model that will result in the earlier recognition of allowance for losses. This update is effective for fiscal years beginning after December 15, 2019, including interim periods within those fiscal years. Early adoption is permitted for a fiscal year beginning after December 15, 2018, including interim periods within that fiscal year. Entities will apply the standard's provisions as a cumulative-effect adjustment to retained earnings as of the beginning of the first reporting period in which the guidance is adopted. We will adopt the new standard in the first quarter of 2020 and believe the impact on our consolidated financial statements and results of operations will not be material.

### Outlook

The local government software market continues to be active, and our backlog at December 31, 2019 reached \$1.46 billion, a 17% increase from last year. We expect to continue to achieve solid growth in revenue and earnings. With our strong financial position and cash flow, we plan to continue to make significant investments in product development to better position us to continue to expand our addressable market and strengthen our competitive position in the public sector software market over the long term.

### CRITICAL ACCOUNTING POLICIES AND ESTIMATES

Our discussion and analysis of financial condition and results of operations is based upon our financial statements, which have been prepared in accordance with accounting principles generally accepted in the United States ("GAAP"). The preparation of these financial statements requires us to make estimates and judgments that affect the reported amounts of assets and liabilities at the date of the financial statements, the reported amounts of revenues, cost of revenues and expenses during the reporting period, and related disclosure of contingencies. The Notes to the Financial Statements included as part of this Annual Report describe our significant accounting policies used in the preparation of the financial statements. Significant items subject to such estimates and assumptions include the application of the progress toward completion methods of revenue recognition, estimated standalone selling price ("SSP") for distinct performance obligations, the carrying amount and estimated useful lives of intangible assets, determination of share-based compensation expense and valuation allowance for receivables. We base our estimates on historical experience and on various other assumptions that we believe to be reasonable under the circumstances, the results of which form the basis for making judgments about the carrying values of assets and liabilities that are not readily apparent from other sources. Actual results may differ from these estimates under different assumptions or conditions.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

We believe the following critical accounting policies require significant judgments and estimates used in the preparation of our financial statements.

**Revenue Recognition.** We earn revenue from software licenses, royalties, subscription-based services, software services, post-contract customer support ("PCS" or "maintenance"), hardware, and appraisal services. Revenue is recognized upon transfer of control of promised products or services to customers in an amount that reflects the consideration we expect to receive in exchange for those products or services. We determine revenue recognition through the following steps:

- Identification of the contract, or contracts, with a customer
- Identification of the performance obligations in the contract
- Determination of the transaction price
- Allocation of the transaction price to the performance obligations in the contract
- Recognition of revenue when, or as, we satisfy a performance obligation

Most of our software arrangements with customers contain multiple performance obligations that range from software licenses, installation, training, and consulting to software modification and customization to meet specific customer needs (services), hosting, and PCS. For these contracts, we account for individual performance obligations separately when they are distinct. We evaluate whether separate performance obligations can be distinct or should be accounted for as one performance obligation. Arrangements that include software services, such as training or installation, are evaluated to determine whether the customer can benefit from the services either on their own or together with other resources readily available to the customer and whether the services are separately identifiable from other promises in the contract. Many of our software arrangements involve "off-the-shelf" software. We recognize the revenue allocable to "off-the-shelf" software licenses and specified upgrades at a point in time when control of the software license transfers to the customer, unless the software is not considered distinct. We consider off-the-shelf software to be distinct when it can be added to an arrangement with minor changes in the underlying code, it can be used by the customer for the customer's purpose upon installation, and remaining services such as training are not considered highly interdependent or highly interrelated to the product's functionality.

For arrangements that involve significant production, modification or customization of the software, or where software services are otherwise not considered distinct, we recognize revenue over time by measuring progress-to-completion. We measure progress-to-completion primarily using labor hours incurred as it best depicts the transfer of control to the customer which occurs as we incur costs on our contracts. These arrangements are often implemented over an extended period and occasionally require us to revise total cost estimates. Amounts recognized in revenue are calculated using the progress-to-completion measurement after giving effect to any changes in our cost estimates. Changes to total estimated contract costs, if any, are recorded in the period they are determined. Estimated losses on uncompleted contracts are recorded in the period in which we first determine that a loss is apparent. When software services are distinct, the fee allocable to the service element is recognized over the time we perform the services and is billed on a time and material or milestones basis.

Subscription-based services consist of revenues derived from SaaS arrangements, which primarily utilize the Tyler private cloud, and electronic filing transactions. Revenue from subscription-based services is generally recognized over time on a ratable basis over the contract term, beginning on the date that our service is made available to the customer. For SaaS arrangements, we evaluate whether the customer has the contractual right to take possession of our software at any time during the hosting period without significant penalty and whether the customer can feasibly maintain the software on the customer's hardware or enter into another arrangement with a third-party to host the software. We allocate contract value to each performance obligation of the arrangement that qualifies for treatment as a distinct element based on estimated SSP. We recognize SaaS arrangements ratably over the term of the arrangement, which range from one to ten but are typically for a period of three to five years. For software services associated with certain SaaS arrangements, we have concluded that the services are not distinct, and we recognize the revenue ratably over the remaining contractual period once we have provided the customer access to the software. We record amounts that have been invoiced in accounts receivable and in deferred revenue or revenues, depending on whether the revenue recognition criteria have been met.

The transaction price is allocated to the separate performance obligations on a relative SSP basis. We determine the SSP based on our overall pricing objectives, taking into consideration market conditions and other factors, including the value of our contracts, the applications sold, customer demographics, and the number and types of users within our contracts. We use a range of amounts to estimate SSP when we sell each of the products and services separately and need to determine whether there is a discount to be allocated based on the relative SSP of the various products and services. In instances where SSP is not directly observable, such as when we do not sell the product or service separately, we determine SSP using the expected cost-plus margin approach. Revenue is recognized net of allowances for sales adjustments and any taxes collected from customers, which are subsequently remitted to governmental authorities.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

Typically, the structure of our arrangements does not give rise to variable consideration. However, in those instances whereby variable consideration exists, we include in our estimates additional revenue for variable consideration when we believe we have an enforceable right, the amount can be estimated reliably and its realization is probable.

We maintain allowances for doubtful accounts, which are provided at the time the revenue is recognized. Since most of our customers are domestic governmental entities, we rarely incur a loss resulting from credit risk associated with the inability of a customer to make required payments. Events or changes in circumstances that indicate that the carrying amount for the allowances for doubtful accounts may require revision include, but are not limited to, deterioration of a customer's financial condition, failure to manage our customer's expectations regarding the scope of the services to be delivered, and defects or errors in new versions or enhancements of our software products. The allowance for doubtful accounts reflects our best estimate of probable losses inherent in the accounts receivable balance. We determine the allowance based on known troubled accounts, historical experience, and other currently available evidence.

In connection with certain of our contracts, we have recorded retentions receivable or unbilled receivables consisting of costs and estimated profit in excess of billings as of the balance sheet date. Many of the contracts which give rise to unbilled receivables at a given balance sheet date are subject to billings in the subsequent accounting period. We review unbilled receivables and related contract provisions to ensure we are justified in recognizing revenue prior to billing the customer and that we have objective evidence which allows us to recognize such revenue. In addition, we have a sizable amount of deferred revenue, which represents billings in excess of revenue earned. The majority of this liability consists of maintenance billings for which payments are made in advance and the revenue is ratably earned over the maintenance period, generally one year. We also have deferred revenue for those contracts in which we receive a deposit and the conditions in which to record revenue for the service or product have not been met. On a periodic basis, we review by customer the detail components of our deferred revenue to ensure our accounting remains appropriate.

**Intangible Assets and Goodwill.** Our business acquisitions typically result in the creation of goodwill and other intangible asset balances, and these balances affect the amount and timing of future period amortization expense, as well as expense we could possibly incur as a result of an impairment charge. The cost of acquired companies is allocated to identifiable tangible and intangible assets based on estimated fair value, with the excess allocated to goodwill. Accordingly, we have a significant balance of acquisition date intangible assets, including software, customer related intangibles, trade name, leases and goodwill. These intangible assets (other than goodwill) are amortized over their estimated useful lives. We currently have no intangible assets with indefinite lives other than goodwill.

We assess goodwill for impairment annually as of April 1st, or more frequently whenever events or changes in circumstances indicate its carrying value may not be recoverable. We begin with the qualitative assessment of whether it is more likely than not that a reporting unit's fair value is less than its carrying value before applying the quantitative assessment described below. When testing goodwill for impairment quantitatively, we first compare the fair value of each reporting unit with its carrying amount. If the carrying amount of a reporting unit exceeds its fair value, a second step is performed to measure the amount of potential impairment. In the second step, we compare the implied fair value of reporting unit goodwill with the carrying amount of the reporting unit's goodwill. If the carrying amount of reporting unit goodwill exceeds the implied fair value of that goodwill, an impairment loss is recognized. The fair values calculated in our impairment tests are determined using discounted cash flow models involving several assumptions. The assumptions that are used are based upon what we believe a hypothetical marketplace participant would use in estimating fair value. We base our fair value estimates on assumptions we believe to be reasonable but that are unpredictable and inherently uncertain. We evaluate the reasonableness of the fair value calculations of our reporting units by comparing the total of the fair value of all of our reporting units to our total market capitalization. Our annual goodwill impairment analysis, which we performed qualitatively during the second quarter of 2019, did not result in an impairment charge. During 2019, we did not identify any triggering events that would require an update to our annual impairment review.

All intangible assets (other than goodwill) are reviewed for impairment whenever events or changes in circumstances indicate that the carrying amount of an asset may not be recoverable. Recoverability of other intangible assets is measured by comparison of the carrying amount to estimated undiscounted future cash flows. The assessment of recoverability or of the estimated useful life for amortization purposes will be affected if the timing or the amount of estimated future operating cash flows is not achieved. Such indicators may include, among others: a significant decline in expected future cash flows; a sustained, significant decline in stock price and market capitalization; a significant adverse change in legal factors or in the business climate; unanticipated competition; and reductions in growth rates. In addition, products, capabilities, or technologies developed by others may render our software products obsolete or non-competitive. Any adverse change in these factors could have a significant impact on the recoverability of goodwill or other intangible assets. During 2019, we did not identify any triggering events that would indicate that the carrying amount of our intangible assets may not be recoverable.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

**Share-Based Compensation.** We have a stock incentive plan that provides for the grant of stock options, restricted stock units and performance stock units to key employees, directors and non-employee consultants. We estimate the fair value of share-based awards on the date of grant. Share-based compensation expense includes the estimated effects of forfeitures, which will be adjusted over the requisite service period to the extent actual forfeitures differ or are expected to differ from such estimates. Changes in estimated forfeitures are recognized in the period of change and will also impact the amount of expense to be recognized in future periods. Forfeiture rate assumptions are derived from historical data.

We estimate stock price volatility at the date of grant based on the historical volatility of our common stock. Estimated option life is determined using the weighted-average period the stock options are expected to be outstanding based primarily on the options' vesting terms, remaining contractual life and the employees' expected exercise based on historical patterns. Determining the appropriate fair-value model and calculating the fair value of share-based awards at the grant date requires considerable judgment, including estimating stock price volatility, expected option life and forfeiture rates.

### ANALYSIS OF RESULTS OF OPERATIONS AND OTHER

The following discussion compares the historical results of operations on a basis consistent with GAAP for the years ended December 31, 2019, 2018 and 2017:

Years Ended December 31,	Percentage of Total Revenues		
	2019	2018	2017
Revenues			
Software licenses and royalties	9.2%	10.0%	10.3%
Subscriptions	27.3	23.6	20.5
Software services	19.6	20.5	21.5
Maintenance	39.6	41.1	42.6
Appraisal services	2.2	2.3	3.0
Hardware and other	2.1	2.5	2.1
Total revenues:	100.0	100.0	100.0
Operating expenses:			
Cost of software licenses, royalties and acquired software:	3.2	2.9	3.0
Cost of software services, maintenance and subscriptions	46.2	46.9	46.1
Cost of appraisal services	1.4	1.5	1.9
Cost of hardware and other	1.6	1.7	1.5
Selling, general and administrative expenses	23.7	22.2	20.9
Research and development expense	7.5	6.8	5.6
Amortization of customer and trade name intangibles	2.0	1.7	1.6
Operating income	14.4	16.3	19.4
Other income, net	0.3	0.4	0.1
Income before income taxes	14.7	16.7	19.5
Income tax (benefit) provision	1.2	0.9	(0.7)
Net income	13.5%	15.8%	20.2%

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### 2019 COMPARED TO 2018

#### Revenues

On February 28, 2019, we acquired all of the capital stock of MicroPact, a leading provider of COTS solutions, including Entellitrak, a low-code application development platform for case management and business process management used extensively in the public sector. The following table details revenue for MicroPact for the period presented as of December 31, 2019, which is included in our consolidated statements of income from the date of acquisition:

	2019
Revenues	
Software licenses and royalties:	\$ 8,737
Subscriptions	7,472
Software services	18,143
Maintenance	28,642
Appraisal services	—
Hardware and other	24
<b>Total revenues:</b>	<b>\$ 63,018</b>

On October 30, 2019, we acquired certain assets of CHT, an industry-leading provider of jury management systems that offers a fully integrated, end-to-end SaaS solution to manage all facets of juror management, from source list generation to juror processing and payment. On February 1, 2019, we acquired all the assets of MyCivic, a company that provides software solutions to connect communities. The impact of the CHT and MyCivic acquisitions on our operating results is not considered material, individually and in the aggregate, and is not included in the table above. The results of the MicroPact, CHT and MyCivic acquisitions are included with the operating results of the ES segment from their dates of acquisition. For comparative purposes, we have provided explanations for changes in operations to exclude results of operations for these acquisitions noting the exclusion.

#### Software licenses and royalties.

The following table sets forth a comparison of our software licenses and royalties revenue for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
ES	\$ 92,567	\$ 83,735	\$ 8,832	11 %
A&T	7,638	9,706	(2,068)	(21)
<b>Total software licenses and royalties revenue</b>	<b>\$100,205</b>	<b>\$ 93,441</b>	<b>\$ 6,764</b>	<b>7 %</b>

Excluding the impact of acquisitions, software licenses and royalties revenue decreased 2% compared to prior year. The decline was primarily due to a shift in the mix of new software contracts toward more subscription agreements compared to the prior year. Our total new contract value mix in 2019, was approximately 37% perpetual software license arrangements and approximately 63% subscription-based arrangements compared to total new contract value mix in 2018, of approximately 59% perpetual software license arrangements and approximately 41% subscription-based arrangements.

Although the mix of new contracts between subscription-based and perpetual license arrangements may vary from quarter to quarter and year to year, we expect our longer-term software license growth rate to be negatively impacted by a growing number of customers choosing our subscription-based options, rather than purchasing the software under a traditional perpetual software license arrangement. Subscription-based arrangements result in lower software license revenue in the initial year as compared to perpetual software license arrangements but generate higher overall revenue over the term of the contract.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### Subscriptions.

The following table sets forth a comparison of our subscriptions revenue for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
ES	\$ 285,092	\$ 210,740	\$ 74,352	35%
A&T	11,260	9,807	1,453	15
Total subscription revenue	\$ 296,352	\$ 220,547	\$ 75,805	34%

Subscription-based revenue primarily consists of revenue derived from our SaaS arrangements, which generally utilize the Tyler private cloud. As part of our subscription-based services, we also provide electronic document filing solutions ("e-filing") that simplify the filing and management of court related documents for courts and law offices. E-filing revenue is derived from transaction fees and fixed fee arrangements.

Excluding the results of acquisitions, subscription-based revenue increased 26% compared to 2018. New SaaS clients as well as existing clients who converted to our SaaS model provided the majority of the subscription revenue increase. In 2019, we added 596 new SaaS clients and 78 existing clients elected to convert to our SaaS model. Also, e-filing services contributed approximately \$7.0 million of the subscription revenue increase in 2019. The increase in e-filing revenue is attributed to new e-filing clients, as well as increased volumes as the result of several existing clients mandating e-filing.

### Software services.

The following table sets forth a comparison of our software services revenue for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
ES	\$ 185,892	\$ 166,921	\$ 18,971	11%
A&T	27,169	24,348	2,821	12
Total software services revenue	\$ 213,061	\$ 191,269	\$ 21,792	11%

Software services revenue primarily consists of professional services billed in connection with implementing our software, converting client data, training client personnel, custom development activities and consulting. New clients who purchase our proprietary software licenses or subscriptions generally also contract with us to provide for the related software services. Existing clients also periodically purchase additional training, consulting and minor programming services. Excluding the results of acquisitions, software services revenue grew 0.4% compared to the prior year period. The slight increase is due to higher new contract volume and the addition of professional services staff to grow our capacity to deliver backlog. Excluding employees added with acquisitions, our implementation and support staff has grown by 232 employees since December 31, 2018.

### Maintenance.

The following table sets forth a comparison of our maintenance revenue for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
ES	\$ 405,063	\$ 359,904	\$ 45,159	13%
A&T	25,255	24,617	638	3
Total maintenance revenue	\$ 430,318	\$ 384,521	\$ 45,797	12%

## Management's Discussion and Analysis of Financial Condition and Results of Operations

We provide maintenance and support services for our software products and certain third-party software. Excluding the results of acquisitions, maintenance revenue grew 4% compared to the prior year. Maintenance and support revenue increased mainly due to growth in our installed customer base from new software license sales as well as annual maintenance rate increases, partially offset by clients converting from on-premises license arrangements to SaaS.

### Appraisal services.

The following table sets forth a comparison of our appraisal services revenue for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
ES	\$ —	\$ —	\$ —	—%
A&T	23,479	21,846	1,633	7
Total appraisal services revenue	\$ 23,479	\$ 21,846	\$ 1,633	7%

In 2019, appraisal services revenue increased 7% compared to the prior year primarily due to the addition of several new revaluation contracts started during the second quarter of 2019. The appraisal services business is somewhat cyclical and driven in part by statutory revaluation cycles in various states.

### Cost of Revenues and Gross Margins

The following table sets forth a comparison of the key components of our cost of revenues for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
Software licenses and royalties	\$ 3,938	\$ 3,802	\$ 136	4%
Acquired software	30,642	22,972	7,670	33
Software services, maintenance and subscriptions	502,138	438,923	63,215	14
Appraisal services	15,337	14,299	1,038	7
Hardware and other	17,472	15,708	1,764	11
Total cost of revenues	\$ 569,527	\$ 495,704	\$ 73,823	15%

The following table sets forth a comparison of gross margin percentage by revenue type for the years ended December 31:

Gross margin percentage	2019	2018	Change
Software licenses, royalties and acquired software	65.5%	71.3%	(5.8)%
Software services, maintenance and subscriptions	46.6	44.9	1.7
Appraisal services	34.7	34.5	0.2
Hardware and other	24.1	33.6	(9.5)
Overall gross margin	47.6%	47.0%	0.6 %

## Management's Discussion and Analysis of Financial Condition and Results of Operations

**Software licenses, royalties and acquired software.** Cost of software licenses, royalties and acquired software is primarily comprised of amortization expense for acquired software and third-party software costs. We do not have any direct costs associated with royalties. The gross margin decrease of 5.8% is due to an increase in amortization expense for acquired software resulting from acquisitions completed in the last half of 2018 and in 2019.

**Software services, maintenance and subscriptions.** Cost of software services, maintenance and subscriptions primarily consists of personnel costs related to installation of our software, conversion of client data, training client personnel and support activities and various other services such as custom client development and on-going operation of SaaS and e-filing arrangements. In 2019, the software services, maintenance and subscriptions gross margin increased 1.7% compared to the prior year. Excluding employees added through acquisitions, our implementation and support staff has grown by 232 employees since December 31, 2018 as we accelerated hiring to ensure that we are well-positioned to deliver our current backlog and anticipated new business. Costs related to maintenance and various other services such as SaaS and e-filing typically grow at a slower rate than related revenue due to leverage in the utilization of support and maintenance staff and economies of scale.

**Appraisal services.** Appraisal services revenue comprised approximately 2.2% of total revenue. The appraisal services gross margin increased 0.2% compared to 2018 due to ramp up of several new revaluation projects during second quarter 2019.

Our 2019 blended gross margin slightly increased 0.6% compared to 2018. Our overall gross margin increase is attributed to a higher revenue mix for subscription revenues compared to the prior year period resulting in an increase in incremental margin related to software services, maintenance and subscriptions. Costs related to maintenance and various other services such as SaaS and e-filing typically grow at a slower rate than related revenue due to leverage in the utilization of support and maintenance staff and economies of scale. The increase in overall margins are partially offset by lower margins from software licenses, in part due to lower software license revenue and higher amortization expense for acquired software resulting from acquisitions.

### Selling, General and Administrative Expenses

Selling, general and administrative ("SG&A") expenses consist primarily of salaries, employee benefits, travel, share-based compensation expense, commissions and related overhead costs for administrative and sales and marketing employees, as well as, professional fees, trade show activities, advertising costs and other marketing related costs. The following table sets forth a comparison of our SG&A expenses for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
Selling, general and administrative expenses	\$ 257,746	\$ 207,605	\$ 50,141	24%

SG&A as a percentage of revenue was 23.7% in 2019 compared to 22.2% in 2018. SG&A expense increased approximately 24% compared to the prior year period. In 2019, our operating results include \$19.9 million of SG&A expenses for MicroPact from the date of acquisition. The remaining SG&A expense increase is mainly due to compensation cost related to increased staff levels, higher stock compensation expense and increased commission expense as a result of higher sales. Excluding employees added with acquisitions, we added 81 employees mainly to our sales and finance teams since December 31, 2018. In addition, our 2019 stock compensation expense rose \$5.8 million, mainly due to increases in our stock price over recent years.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### Research and Development Expense

Research and development expense consists primarily of salaries, employee benefits and related overhead costs associated with new product development. The following table sets forth a comparison of our research and development expense for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
Research and development expense	\$ 81,342	\$ 63,264	\$ 18,078	29%

Research and development expense increased 29% in 2019 compared to the prior year period, mainly due to a number of new Tyler product development initiatives across our product suites, including increased investments in research and development at recently acquired businesses. To support these initiatives, our research and development staff has grown by 153 since December 31, 2018.

### Amortization of Customer and Trade Name Intangibles

Acquisition intangibles are comprised of the excess of the purchase price over the fair value of net tangible assets acquired that is allocated to acquired software, leases and customer and trade name intangibles. The remaining excess purchase price is allocated to goodwill that is not subject to amortization. Amortization expense related to acquired software is included with cost of revenues, while amortization expense of customer and trade name intangibles is recorded as operating expense. The estimated useful lives of both customer and trade name intangibles range from five to 25 years. The following table sets forth a comparison of amortization of customer and trade name intangibles for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
Amortization of customer and trade name intangibles	\$ 21,445	\$ 16,217	\$ 5,228	32%

Amortization of customer and trade name intangibles increased due to the impact of intangibles added with several acquisitions completed in 2018 and 2019.

Estimated annual amortization expense relating to customer and trade name acquisition intangibles, excluding acquired software for which the amortization expense is recorded as cost of revenues, for the next five years and thereafter is as follows (in thousands):

2020	\$ 21,357
2021	21,237
2022	20,747
2023	20,673
2024	20,121
Thereafter	135,264

Amortization expense relating to acquired leases will be recorded as a reduction to hardware and other revenue and is expected to be \$525,000 in 2020, \$525,000 in 2021, \$525,000 in 2022, \$525,000 in 2023, \$525,000 in 2024 and \$512,000 thereafter.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### Other

The following table sets forth a comparison of other income, net for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
Other income, net	\$ 3,471	\$ 3,378	\$ 93	3%

Other income is comprised of interest income from invested cash net of interest expense and non-usage and other fees associated with our revolving credit agreement. Other income, net, increased compared to the prior period due to increased interest income from higher levels of cash and investments resulting from cash generated in the current year offset by increased interest expense from new debt outstanding during the current year under our credit agreement.

### Income Tax Provision

The following table sets forth a comparison of our income tax provision for the years ended December 31:

(\$ in thousands)	2019	2018	Change	
			\$	%
Income tax provision (benefit)	\$13,311	\$ 8,408	\$ 4,903	58%
Effective income tax rate	8.3%	5.4%		

The increase in the income tax provision and the effective income tax rate in 2019 compared to the prior year is primarily due to lower excess tax benefits from stock option exercises in 2019. Stock option exercise activity in 2019 generated excess tax benefits of \$29.8 million, while stock option exercise activity in 2018 generated \$32.5 million excess tax benefits. In addition, the 2018 income tax provision contains a tax benefit of \$1.8 million resulting from the remeasurement of deferred tax assets and liabilities associated with the enactment of the 2017 Tax Act which reduced the statutory U.S. federal corporate income tax rate from 35% to 21%. Excluding the impact of the excess tax benefits and the Tax Act, our income tax provision and effective tax rate in 2019 would have been \$43.1 million and 27.0% and in 2018, would have been \$42.6 million and 27.4%, respectively.

The effective income tax rates in both 2019 and 2018 differed from the United States federal statutory corporate income tax rate of 21% due to state income taxes, the research tax credit, non-deductible share-based compensation expense, disqualifying incentive stock option dispositions, and other non-deductible business expenses.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### 2018 COMPARED TO 2017

#### Revenues

##### Software licenses and royalties.

The following table sets forth a comparison of our software licenses and royalties revenue for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
ES	\$ 83,735	\$ 78,338	\$ 5,347	7%
A&T	9,706	7,854	1,852	24
Total software licenses and royalties revenue	\$ 93,441	\$ 86,242	\$ 7,199	8%

Software license and royalties revenue increased 8% compared to the prior year. The majority of this growth was due to an active marketplace as the result of generally positive local government economic conditions, as well as our increasingly strong competitive position, which we attribute in part to our investment in product development in recent years. An increase in the number of larger contracts related to our planning, regulatory and maintenance solutions and public safety solutions also contributed to the growth in license revenue.

Although the mix of new contracts between subscription-based and perpetual license arrangements may vary from quarter to quarter and year to year, we expect our longer-term software license growth rate to be negatively impacted by a growing number of customers choosing our subscription-based options, rather than purchasing the software under a traditional perpetual software license arrangement. Subscription-based arrangements result in lower software license revenue in the initial year as compared to perpetual software license arrangements but generate higher overall revenue over the term of the contract. Our new client mix in 2018 was approximately 47% selecting perpetual software license arrangements and approximately 53% selecting subscription-based arrangements compared to a client mix in 2017 of approximately 53% selecting perpetual software license arrangements and approximately 47% selecting subscription-based arrangements.

##### Subscriptions.

The following table sets forth a comparison of our subscriptions revenue for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
ES	\$ 210,740	\$ 164,317	\$ 46,423	28%
A&T	9,807	7,859	1,948	25
Total subscriptions revenue	\$ 220,547	\$ 172,176	\$ 48,371	28%

Subscription-based revenue primarily consists of revenue derived from our SaaS arrangements, which generally utilize the Tyler private cloud. As part of our subscription-based services, we also provide electronic document filing solutions ("e-filing") that simplify the filing and management of court related documents for courts and law offices. E-filing revenue is derived from transaction fees and fixed fee arrangements. Excluding the results of acquisitions, subscription-based revenue increased 21% compared to 2017.

New SaaS clients as well as existing clients who converted to our SaaS model provided the majority of the subscription revenue increase. In 2018, we added 410 new SaaS clients and 97 existing clients elected to convert to our SaaS model. Also, e-filing services contributed approximately \$6.2 million of the subscription revenue increase in 2018. The increase in e-filing revenue is attributed to new e-filing clients, as well as increased volumes as the result of several existing clients mandating e-filing. The acquisition of Socrata, which primarily has a subscription revenue model, also contributed to the increase in subscription revenues.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### Software services.

The following table sets forth a comparison of our software services revenue for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
ES	\$ 166,921	\$ 161,245	\$ 5,676	4%
A&T	24,348	19,215	5,133	27
Total software services revenue	\$ 191,269	\$ 180,460	\$ 10,809	6%

Software services revenue primarily consists of professional services billed in connection with implementing our software, converting client data, training client personnel, custom development activities and consulting. New clients who purchase our proprietary software licenses generally also contract with us to provide for the related software services. Existing clients also periodically purchase additional training, consulting and minor programming services. Excluding the results of acquisitions, software services revenue grew 3% compared to the prior year period. This growth is due to a higher level of new software sales, through both our license and subscription models.

### Maintenance.

The following table sets forth a comparison of our maintenance revenue for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
ES	\$ 359,904	\$ 337,701	\$ 22,203	7%
A&T	24,617	21,618	2,999	14
Total maintenance revenue	\$ 384,521	\$ 359,319	\$ 25,202	7%

We provide maintenance and support services for our software products and certain third-party software. Maintenance revenue grew 7% compared to the prior year. Maintenance and support revenue increased mainly due to growth in our installed customer base from new software license sales as well as annual maintenance rate increases.

### Appraisal services.

The following table sets forth a comparison of our appraisal services revenue for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
ES	\$ —	\$ —	\$ —	— %
A&T	21,846	25,023	(3,177)	(13)
Total appraisal services revenue	\$ 21,846	\$ 25,023	\$ (3,177)	(13)%

In 2018, appraisal services revenue decreased 13% compared to the prior year primarily due to the successful completion of several large revaluation projects in mid-2017. The appraisal services business is somewhat cyclical and driven in part by statutory revaluation cycles in various states

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### COST OF REVENUES AND GROSS MARGINS

The following table sets forth a comparison of the key components of our cost of revenues for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
Software licenses and royalties	\$ 3,802	\$ 3,321	\$ 481	14%
Acquired software	22,972	21,686	1,286	6
Software services, maintenance and subscriptions	438,923	387,634	51,289	13
Appraisal services	14,299	16,286	(1,987)	(12)
Hardware and other	15,708	12,595	3,113	25
Total cost of revenues	\$ 495,704	\$ 441,522	\$ 54,182	12%

The following table sets forth a comparison of gross margin percentage by revenue type for the years ended December 31:

Gross margin percentage	2018	2017	Change
Software licenses, royalties and acquired software	71.3%	71.0%	0.3 %
Software services, maintenance and subscriptions	44.9	45.6	(0.7)
Appraisal services	34.5	34.9	(0.4)
Hardware and other	33.6	28.8	4.8
Overall gross margin	47.0%	47.5%	(0.5)%

**Software licenses, royalties and acquired software.** Cost of software licenses, royalties and acquired software is primarily comprised of amortization expense for acquired software and third-party software costs. We do not have any direct costs associated with royalties. The gross margin increase of 0.3% is due to higher software license revenues offset by an increase in amortization expense for acquired software attributed to new acquisitions completed in 2018.

**Software services, maintenance and subscriptions.** Cost of software services, maintenance and subscriptions primarily consists of personnel costs related to installation of our software, conversion of client data, training client personnel and support activities and various other services such as custom client development and on-going operation of SaaS and e-filing arrangements. In 2018, the software services, maintenance and subscriptions gross margin decreased 0.7% compared to the prior year. Excluding employees added through acquisitions, our implementation and support staff grew by 57 employees in 2018 as we accelerated hiring to ensure that we are well-positioned to deliver our current backlog and anticipated new business. Recognition of acquisition-related deferred revenue associated with subscriptions and maintenance also resulted in lower gross margins.

**Appraisal services.** Appraisal services revenue comprised approximately 2.3% of total revenue. The appraisal services gross margin decreased 0.4% compared to 2017 due to the reduction in higher margin projects substantially complete by early 2017 and lower volume of revenues in the current period to cover relatively fixed costs.

Our 2018 blended gross margin slightly decreased by 0.5% compared to 2017. Our overall gross margin decrease is mainly attributed to additions to our implementation staff and lower margin revenues from appraisal services, offset by improved margin on revenues from software licenses.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### Selling, General and Administrative Expenses

The following table sets forth a comparison of selling, general and administrative expenses for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
Selling, general and administrative expenses	\$ 207,605	\$ 175,914	\$ 31,691	18%

SG&A as a percentage of revenue was 22.2% in 2018 compared to 20.9% in 2017. SG&A expense increased approximately 18% compared to the prior year period. In 2018, our operating results include \$9.1 million of SG&A expenses for Socrata from the date of acquisition. The remaining SG&A expense increase is mainly due to compensation cost related to increased staff levels, higher stock compensation expense and increased commission expense as a result of higher sales. Excluding employees added with acquisitions, we added 47 employees mainly to our sales and finance teams since in 2018. In addition, our 2018 stock compensation expense rose \$11.2 million, mainly due to increases in our stock price over the last few years.

### Research and Development Expense

The following table sets forth a comparison of our research and development expense for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
Research and development expense	\$ 63,264	\$ 47,324	\$ 15,940	34%

Research and development expense increased 34% in 2018 compared to the prior year period, mainly due to a number of new Tyler product development initiatives across our product suites, including increased investments in research and development at recently acquired businesses. To support these initiatives, our research and development staff grew by 159 in 2018.

### Amortization of Customer and Trade Name Intangibles

The following table sets forth a comparison of amortization of customer and trade name intangibles for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
Amortization of customer and trade name intangibles	\$ 16,217	\$ 13,381	\$ 2,836	21%

Amortization of customer and trade name intangibles increased due to the impact of intangibles added with several acquisitions completed in 2017 and 2018.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### Other

The following table sets forth a comparison of other income, net for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
Other income, net	\$ 3,378	\$ 698	\$ 2,680	384%

Other income is comprised of interest income from invested cash net of interest expense and non-usage and other fees associated with our revolving credit agreement. Other income, net, increased compared to the prior period due to increased interest income from significantly higher levels of cash and investments resulting from cash generated in the last year. We had no debt in 2018, as we repaid all borrowings under the revolving line of credit in January 2017.

### Income Tax Provision (Benefit)

The following table sets forth a comparison of our income tax provision for the years ended December 31:

(\$ in thousands)	2018	2017	Change	
			\$	%
Income tax provision (benefit)	\$ 8,408	\$ (6,115)	\$ 14,523	(237)%
Effective income tax rate	5.4%	(3.7)%		

The increase in the income tax provision in 2018 is primarily due to the one-time tax benefit of \$26.0 million recognized in the fourth quarter of 2017 resulting from the remeasurement of deferred tax assets and liabilities associated with the enactment of the Tax Act which reduced the statutory U.S. federal corporate income tax rate from 35% to 21%. The increase is somewhat offset by the decrease in statutory U.S. federal corporate income tax rate for 2018. In addition, excess tax benefits from stock option exercises were lower in 2018 as compared to the prior period. Stock option exercise activity in 2018 generated excess tax benefits of \$32.5 million, while stock option exercise activity in 2017 generated \$40.6 million excess tax benefits.

The increase in the effective income tax rate in 2018 compared to 2017 is also primarily attributable to the one-time tax benefit associated with the Tax Act recognized in 2017 and the decrease in excess tax benefits related to stock option exercises realized, offset by the decrease in statutory U.S. federal corporate income tax rate for 2018. Excluding the impact of the Tax Act and the excess tax benefits, our income tax provision and effective tax rate in 2018 would have been \$42.6 million and 27.4% and in 2017, would have been \$60.5 million and 37.0%, respectively.

The effective income tax rates in both 2018 and 2017 differed from the statutory United States federal corporate income tax rate of 21% and 35%, respectively, due to state income taxes, the research tax credit, non-deductible share-based compensation expense, disqualifying incentive stock option dispositions, and other non-deductible business expenses, and in 2017, the domestic production activities deduction.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### FINANCIAL CONDITION AND LIQUIDITY

As of December 31, 2019, we had cash and cash equivalents of \$232.7 million compared to \$134.3 million at December 31, 2018. We also had \$81.6 million invested in investment grade corporate bonds, municipal bonds and asset-backed securities as of December 31, 2019 compared to \$97.7 million at December 31, 2018. These investments mature between 2020 through 2023 and we intend to hold these investments until maturity. Cash and cash equivalents consist of cash on deposit with several domestic banks and money market funds. As of December 31, 2019, we had no outstanding borrowings and no outstanding letters of credit. We believe our revolving line of credit, cash from operating activities, cash on hand and access to the credit markets provide us with sufficient flexibility to meet our long-term financial needs.

The following table sets forth a summary of cash flows for the years ended December 31:

(\$ in thousands)	2019	2018	2017
Cash flows provided (used) by:			
Operating activities	\$ 254,720	\$ 250,203	\$ 195,755
Investing activities	(245,015)	(238,255)	(85,395)
Financing activities	88,698	(63,595)	39,415
Net increase (decrease) in cash and cash equivalents	\$ 98,403	\$ (51,647)	\$ 149,775

Net cash provided by operating activities continues to be our primary source of funds to finance operating needs and capital expenditures. Other potential capital resources include cash on hand, public and private issuances of debt or equity securities, and bank borrowings. It is possible that our ability to access the capital and credit markets in the future may be limited by economic conditions or other factors. We currently believe that cash provided by operating activities, cash on hand and available credit are sufficient to fund our working capital requirements, capital expenditures, income tax obligations, and share repurchases for at least the next twelve months.

In 2019, operating activities provided cash of \$254.7 million compared to \$250.2 million in 2018. Operating activities that provided cash were primarily comprised of net income of \$146.5 million, non-cash depreciation and amortization charges of \$76.7 million and non-cash share-based compensation expense of \$60.0 million. Working capital, excluding cash, increased approximately \$35.5 million due to higher accounts receivable resulting from an increase in unbilled receivables attributed to revenues recognized prior to billings, higher accounts receivable related to annual maintenance and subscription billings, timing of income tax payments, and the deferred taxes associated with stock option activity during the period. These increases were offset by the growth in deferred revenue balances and timing of payments of payroll related taxes and vendor invoices.

In general, changes in the balance of deferred revenue are cyclical and primarily driven by the timing of our maintenance and subscription billings. Our renewal dates occur throughout the year, but our largest maintenance renewal cycles occur in the second and fourth quarters.

Days sales outstanding in accounts receivable were 117 days at December 31, 2019, compared to 111 days at December 31, 2018. The increase in our DSO is mainly due to an increase in unbilled receivables attributed to the increase in software license revenue for which we have recognized revenue at the point in time when the software is made available to the customer, but the billing has not yet been submitted to the customer. An increase in software services contracts accounted for using progress-to-completion method of revenue recognition in which the services are performed in one accounting period, but the billing normally occurs subsequently in another accounting period also contributed to the increase in DSO. Furthermore, our maintenance billing cycle typically peaks at its highest level in June and second highest level in December of each year and is followed by collections in the subsequent quarter. DSO is calculated based on quarter-end accounts receivable (excluding long-term receivables but including unbilled receivables) divided by the quotient of annualized quarterly revenues divided by 360 days.

Investing activities used cash of \$245.0 million in 2019 compared to \$238.3 million in 2018. We invested \$54.7 million and received \$70.8 million in proceeds from investment grade corporate bonds, municipal bonds and asset-backed securities with maturity dates ranging from 2020 through 2023. On February 28, 2019, we acquired all of the capital stock of MicroPact. The total purchase price, net of cash acquired of \$2.0 million, was approximately \$202.2 million, including \$198.2 million paid in cash and accrued contingent consideration of \$6.0 million at December 31, 2019. On February 1, 2019, we acquired all the assets of MyCivic for the total purchase price of \$3.7 million paid in cash. On October 30, 2019, we acquired certain assets of CHT. The total purchase price was approximately \$20.5 million of which \$19.1 million was

## Management's Discussion and Analysis of Financial Condition and Results of Operations

paid in cash and approximately \$1.4 million accrued for working capital and indemnity holdbacks, subject to certain post-closing adjustments. Approximately \$37.2 million was invested in property and equipment, including \$20.8 million related to real estate. In addition, approximately \$4.8 million of software development was capitalized in 2019. The remaining additions were for computer equipment and furniture and fixtures in support of internal growth, particularly with respect to data centers supporting growth in our cloud-based offerings. These expenditures were funded from cash generated from operations.

In 2018, we invested \$115.6 million and received \$81.2 million in proceeds from investment grade corporate bonds, municipal bonds and asset-backed securities. Approximately \$27.4 million was invested in property and equipment, primarily for computer equipment, furniture and fixtures in support of internal growth, particularly with respect to our cloud-based offerings. We paid \$2.2 million for the expansion of existing buildings. On December 7, 2018, we acquired certain assets and intellectual property of SceneDoc, Inc., a company that provides mobile-first, SaaS field reporting for law enforcement agencies. The total purchase price was approximately \$6.2 million in cash. On October 1, 2018, we acquired all of the equity interests of MobileEyes, a company that develops software to improve public safety by supporting fire prevention and suppression, emergency response, and structural safety. The total purchase price was approximately \$5.3 million in cash. On August 31, 2018, we acquired all of the assets of CaseloadPRO, a company that provides a fully featured probation case management system. The purchase price of \$9.3 million was paid in cash. On April 30, 2018, we acquired all of the capital stock of Socrata, a company that provides open data and data-as-a-service solutions including cloud-based data integration, visualization, analysis, and reporting solutions for state and local government agencies. The purchase price, net of cash acquired of \$1.7 million, was \$147.6 million paid in cash. On April 30, 2018, we acquired all of the equity interests of Sage, a cybersecurity company offering a suite of services that supports an entire cybersecurity lifecycle, including program development, education and training, technical testing, advisory services, and digital forensics. The total purchase price was \$11.6 million paid in cash. These expenditures were funded from cash generated from operations.

Financing activities provided cash of \$88.7 million in 2019 compared to cash used of \$63.6 million in 2018. Financing activities in 2019 were primarily comprised of collections of \$106.5 million from stock option exercises and employee stock purchase plan activity. We also purchased approximately 72,000 shares of our common stock for an aggregate purchase price of \$14.3 million.

Financing activities used cash of \$63.6 million in 2018 compared to cash provided of \$39.4 million in 2017. Financing activities in 2018 were primarily comprised of collections of \$83.0 million from stock option exercises and employee stock purchase plan activity. We also purchased approximately 781,000 shares of our common stock for an aggregate purchase price of \$150.1 million, of which \$3.5 million was accrued as of December 31, 2018.

In February 2019, our board of directors authorized the repurchase of an additional 1.5 million shares of Tyler common stock. The repurchase program, which was approved by our board of directors, was announced in October 2002, and was amended at various times from 2003 through 2019. As of February 19, 2020, we had remaining authorization to repurchase up to 2.6 million additional shares of our common stock. Our share repurchase program allows us to repurchase shares at our discretion. Market conditions influence the timing of the buybacks and the number of shares repurchased, as well as the volume of employee stock option exercises. Share repurchases are generally funded using our existing cash balances and borrowings under our credit facility and may occur through open market purchases and transactions structured through investment banking institutions, privately negotiated transactions and/or other mechanisms. There is no expiration date specified for the authorization and we intend to repurchase stock under the plan from time to time.

On September 30, 2019, we entered into a \$400.0 million credit agreement (the "Credit Facility") with the various lenders party thereto and Wells Fargo Bank, National Association, as Administrative Agent. The Credit Facility provides for an unsecured revolving credit line of up to \$400.0 million, including a \$25.0 million sublimit for letters of credit. The Credit Facility matures on September 30, 2024. Borrowings under the Credit Facility may be used for general corporate purposes, including working capital requirements, acquisitions and share repurchases. Borrowings under the Credit Facility bear interest at a rate of either (1) Wells Fargo Bank's prime rate (subject to certain higher rate determinations) plus a margin of 0.125% to 0.75% or (2) the 30, 60, 90 or 180 day LIBOR rate plus a margin of 1.125% to 1.75%. As of December 31, 2019, our interest rate was 4.88% under the prime rate option or approximately 2.89% under the 30-day LIBOR option. The Credit Facility is secured by substantially all of our assets. The Credit Facility requires us to maintain certain financial ratios and other financial conditions and prohibits us from making certain investments, advances, cash dividends or loans, and limits incurrence of additional indebtedness and liens. As of December 31, 2019, we were in compliance with those covenants.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

As of December 31, 2019, we had no outstanding borrowings and had unused borrowing capacity of \$400.0 million under the Credit Facility. We paid interest of \$1,750,000 in 2019, \$770,000 in 2018, and \$804,000 in 2017.

We paid income taxes, net of refunds received, of \$21.3 million in 2019, \$6.8 million in 2018, and \$36.0 million in 2017. In 2019, we experienced significant stock option exercise activity that generated net tax benefits of \$29.8 million and reduced tax payments accordingly. In 2018 and 2017, excess tax benefits were \$32.5 million and \$40.6 million, respectively.

We anticipate that 2020 capital spending will be between \$36 million and \$38 million, including approximately \$9 million related to real estate and approximately \$7 million of capitalized software development. We expect the majority of the other capital spending will consist of computer equipment and software for infrastructure replacements and expansion. Capital spending is expected to be funded from existing cash balances and cash flows from operations.

From time to time we engage in discussions with potential acquisition candidates. In order to pursue such opportunities, which could require significant commitments of capital, we may be required to incur debt or to issue additional potentially dilutive securities in the future. No assurance can be given as to our future acquisition opportunities and how such opportunities will be financed. We lease office facilities for use in our operations, as well as transportation and other equipment. Most of our leases are non-cancelable operating lease agreements and they expire from one year to eight years. Some of these leases include options to extend for up to 10 years.

Summarized in the table below are our obligations to make future payments under the Credit Facility and lease obligations at December 31, 2019 (in thousands):

	2020	2021	2022	2023	2024	Thereafter	Total
Revolving line of credit	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —
Lease obligations	7,684	6,246	3,960	2,923	2,478	2,042	25,333
Total future payment obligations	\$ 7,684	\$ 6,246	\$ 3,960	\$ 2,923	\$ 2,478	\$ 2,042	\$ 25,333

As of December 31, 2019, we do not have any off-balance sheet arrangements, guarantees to third-parties or material purchase commitments.

### CAPITALIZATION

At December 31, 2019, our capitalization consisted of no outstanding borrowings and \$1.6 billion of shareholders' equity.

### QUANTITATIVE AND QUALITATIVE DISCLOSURES ABOUT MARKET RISK.

Market risk represents the risk of loss that may affect us due to adverse changes in financial market prices and interest rates.

In 2019, our effective average interest rate for borrowings was 3.84%. As of December 31, 2019, our interest rate was 4.88% under the prime rate option or approximately 2.89% under the 30-day LIBOR option. Loans under the Credit Facility bear interest, at Tyler's option, at a per annum rate of either (1) Wells Fargo Bank's prime rate (subject to certain higher rate determinations) plus a margin of 0.125% to 0.75% or (2) the one-, two-, three-, or six-month LIBOR rate plus a margin of 1.125% to 1.75%.

As of December 31, 2019, we had no outstanding borrowings under the Credit Facility and therefore are not subject to any interest risk.

## Management's Discussion and Analysis of Financial Condition and Results of Operations

### CONTROLS AND PROCEDURES.

**Evaluation of Disclosure Controls and Procedures** — We maintain disclosure controls and procedures (as defined in Rule 13a-15(e) of the Securities Exchange Act) designed to provide reasonable assurance that the information required to be disclosed by us in the reports we file or submit under the Exchange Act is recorded, processed, summarized and reported within the time periods specified in the SEC's rules and forms. These include controls and procedures designed to ensure that this information is accumulated and communicated to our management, including our chief executive officer and chief financial officer, as appropriate to allow timely decisions regarding required disclosures. Management, with the participation of the chief executive officer and chief financial officer, evaluated the effectiveness of our disclosure controls and procedures as of December 31, 2019. Based on this evaluation, the chief executive officer and chief financial officer have concluded that our disclosure controls and procedures were effective as of December 31, 2019.

**Management's Report on Internal Control Over Financial Reporting** — Tyler's management is responsible for establishing and maintaining effective internal control over financial reporting as defined in Securities Exchange Act Rule 13a-15(f). Tyler's internal control over financial reporting is designed to provide reasonable assurance to Tyler's management and board of directors regarding the preparation and fair presentation of published financial statements.

Because of its inherent limitations, internal control over financial reporting may not prevent or detect misstatements. Therefore, even those systems determined to be effective can provide only reasonable assurance with respect to financial statement preparation and presentation.

Management assessed the effectiveness of Tyler's internal control over financial reporting as of December 31, 2019. In making this assessment, management used the criteria set forth by the Committee of Sponsoring Organizations of the Treadway Commission (2013 framework) (the COSO criteria). Based on our assessment, we concluded that, as of December 31, 2019, Tyler's internal control over financial reporting was effective based on those criteria.

Management's assessment of and conclusion on the effectiveness of internal control over financial reporting did not include the internal controls of MicroPact, which is included in our 2019 consolidated financial statements and constituted 11.5% of total assets as of December 31, 2019 and 5.8% of revenues for the year then ended.

Tyler's internal control over financial reporting as of December 31, 2019 has been audited by Ernst & Young LLP, the independent registered public accounting firm who also audited Tyler's financial statements. Ernst & Young's attestation report on Tyler's internal control over financial reporting appears on page 57 hereof.

**Changes in Internal Control Over Financial Reporting** — During the quarter ended December 31, 2019, there were no changes in our internal control over financial reporting, as defined in Securities Exchange Act Rule 13a-15(f), that materially affected, or are reasonably likely to materially affect, our internal control over financial reporting.

## Report of Independent Registered Public Accounting Firm

### To the Shareholders and the Board of Directors of Tyler Technologies, Inc.

#### Opinion on the Financial Statements

We have audited the accompanying consolidated balance sheets of Tyler Technologies, Inc. (the Company) as of December 31, 2019 and 2018, the related consolidated statements of comprehensive income, shareholders' equity and cash flows for each of the three years in the period ended December 31, 2019, and the related notes (collectively referred to as the "consolidated financial statements"). In our opinion, the consolidated financial statements present fairly, in all material respects, the financial position of the Company at December 31, 2019 and 2018, and the results of its operations and its cash flows for each of the three years in the period ended December 31, 2019, in conformity with U.S. generally accepted accounting principles.

We also have audited, in accordance with the standards of the Public Company Accounting Oversight Board (United States) (PCAOB), the Company's internal control over financial reporting as of December 31, 2019, based on criteria established in Internal Control-Integrated Framework issued by the Committee of Sponsoring Organizations of the Treadway Commission (2013 framework) and our report dated February 19, 2020 expressed an unqualified opinion thereon.

#### Basis for Opinion

These financial statements are the responsibility of the Company's management. Our responsibility is to express an opinion on the Company's financial statements based on our audits. We are a public accounting firm registered with the PCAOB and are required to be independent with respect to the Company in accordance with the U.S. federal securities laws and the applicable rules and regulations of the Securities and Exchange Commission and the PCAOB.

We conducted our audits in accordance with the standards of the PCAOB. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement, whether due to error or fraud. Our audits included performing procedures to assess the risks of material misstatement of the financial statements, whether due to error or fraud, and performing procedures that respond to those risks. Such procedures included examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements. Our audits also included evaluating the accounting principles used and significant estimates made by management, as well as evaluating the overall presentation of the financial statements. We believe that our audits provide a reasonable basis for our opinion.

#### Critical Audit Matters

The critical audit matters communicated below are matters arising from the current period audit of the financial statements that were communicated or required to be communicated to the audit committee and that: (1) relate to accounts or disclosures that are material to the financial statements and (2) involved our especially challenging, subjective or complex judgments. The communication of critical audit matters does not alter in any way our opinion on the consolidated financial statements, taken as a whole, and we are not, by communicating the critical audit matters below, providing separate opinions on the critical audit matters or on the accounts or disclosures to which they relate.

#### Estimation of hours for certain progress-to-completion (POC) arrangements

##### *Description of the Matter*

As described in Note 1 "Summary of Significant Accounting Policies" to the consolidated financial statements under "Revenue Recognition," many of the Company's software arrangements involve "off-the-shelf" software. For arrangements that involve significant production, modification or customization of the software, or where software services are otherwise not considered distinct, the Company recognizes revenue over time based on a measurement of progress-to-completion (POC). The Company measures POC primarily using labor hours incurred, believing it best depicts the pattern of transfer of control to the customer, which occurs as the Company incurs costs on its contracts. Estimates of budgeted total hours for these arrangements requires management judgment.

## Report of Independent Registered Public Accounting Firm

Auditing management's estimates of total budgeted contract hours required additional audit effort due to the existence of management judgment required to make these estimates for arrangements that are completed over an extended period. These estimates require ongoing monitoring by management and may require revision over time.

### *How We Addressed the Matter in Our Audit*

We obtained an understanding, evaluated the design, and tested the operating effectiveness of controls over the Company's process to review contract progress-to-date and total budgeted hours, inclusive of executed contract amendments and change orders.

To test the appropriateness of management's assessment of contract progress-to-date, our audit procedures included, among others, obtaining an understanding of any increase or decrease to budgeted hours via contract amendments or change orders, observing quarterly POC meetings where the Company discussed contract progress-to-date and evaluated the appropriateness of contract estimated hours to complete, reviewing signed Company attestations as to the contracts' progress toward completion, performing a sensitivity analysis to assess the impact of changes to the budgeted hours on the amount of revenue recognized, and performing an analysis of completed contracts to compare actual hours incurred upon completion to the original budget.

### **Accounting for the acquisition of MP Holdings Parent, Inc.**

#### *Description of the Matter*

As described in Note 2 "Acquisitions" to the consolidated financial statements, the Company completed three acquisitions during 2019 for net consideration of \$226.5 million. The most significant of these was the acquisition of MP Holdings Parent, Inc. (MicroPact) for net consideration of \$202.2 million. The transactions were accounted for as business combinations.

Auditing the Company's accounting for the MicroPact acquisition was more complex due to the significant estimations used by management in determining the fair values of assets acquired and liabilities assumed, in particular the fair values of identified intangible assets of \$136.1 million, the most significant of which consisted of customer relationships and developed technology, both of which utilize prospective financial information. The Company valued customer relationships using the multi-period excess earnings model. The significant assumptions used in this model included the attrition rate, weighted average cost of capital and existing customer growth. The Company valued the developed technology using the relief-from-royalty method. The significant assumptions used in this method included the obsolescence rate and weighted average cost of capital. The significant assumptions used in the valuation of the intangible assets are forward-looking and could be affected by future economic and market conditions.

#### *How We Addressed the Matter in Our Audit*

We obtained an understanding, evaluated the design, and tested the operating effectiveness of the Company's controls over its accounting for the MicroPact acquisition. For example, we tested controls over the recognition and measurement of consideration transferred, as well as management's review of the valuation methods and significant underlying assumptions for each identified intangible asset.

To test the estimated fair values of the acquired customer relationships and developed technology, we performed audit procedures that included, among others, evaluating the Company's selection of the valuation methodology, evaluating the significant assumptions used in the Company's valuation calculations and evaluating the completeness and accuracy of the underlying data supporting the significant assumptions. We involved our valuation specialists to assist with our evaluation of the methodology used by the Company and significant assumptions included in the fair value estimates. Additionally, we performed sensitivity analyses and compared significant assumptions to forecasts, the assumptions used to value similar assets in other acquisitions and to historical financial results of both the Company and the acquiree, among other procedures. We also evaluated the Company's acquisition and related purchase accounting disclosures included in Note 2 "Acquisitions".

The logo for Ernst & Young LLP, featuring the company name in a stylized, cursive script font.

We have served as the Company's auditor since 1966.

Dallas, Texas  
February 19, 2020

## Report of Independent Registered Public Accounting Firm

### To the Shareholders and the Board of Directors of Tyler Technologies, Inc.

#### Opinion on Internal Control over Financial Reporting

We have audited Tyler Technologies, Inc.'s internal control over financial reporting as of December 31, 2019, based on criteria established in Internal Control-Integrated Framework issued by the Committee of Sponsoring Organizations of the Treadway Commission (2013 framework) (the COSO criteria). In our opinion, Tyler Technologies, Inc. (the Company) maintained, in all material respects, effective internal control over financial reporting as of December 31, 2019, based on the COSO criteria.

As indicated in the accompanying Management's Report on Internal Control Over Financial Reporting, management's assessment of and conclusion on the effectiveness of internal control over financial reporting did not include the internal controls of MP Holdings Parent, Inc. (MicroPact), which is included in the 2019 consolidated financial statements of the Company and constituted 11.5% of total assets as of December 31, 2019 and 5.8% of total revenue for the year then ended. Our audit of internal control over financial reporting of the Company also did not include an evaluation of the internal control over financial reporting of MicroPact.

We also have audited, in accordance with the standards of the Public Company Accounting Oversight Board (United States) (PCAOB), consolidated balance sheets of the Company as of December 31, 2019 and 2018, the related consolidated statements of comprehensive income, shareholders' equity and cash flows for each of the three years in the period ended December 31, 2019, and the related notes and our report dated February 19, 2020 expressed an unqualified opinion thereon.

#### Basis for Opinion

The Company's management is responsible for maintaining effective internal control over financial reporting and for its assessment of the effectiveness of internal control over financial reporting included in the accompanying Management's Report on Internal Control Over Financial Reporting. Our responsibility is to express an opinion on the Company's internal control over financial reporting based on our audit. We are a public accounting firm registered with the PCAOB and are required to be independent with respect to the Company in accordance with the U.S. federal securities laws and the applicable rules and regulations of the Securities and Exchange Commission and the PCAOB.

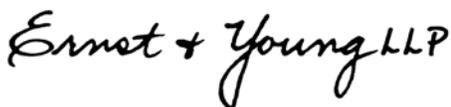
We conducted our audit in accordance with the standards of the PCAOB. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether effective internal control over financial reporting was maintained in all material respects.

Our audit included obtaining an understanding of internal control over financial reporting, assessing the risk that a material weakness exists, testing and evaluating the design and operating effectiveness of internal control based on the assessed risk, and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion.

#### Definition and Limitations of Internal Control Over Financial Reporting

A company's internal control over financial reporting is a process designed to provide reasonable assurance regarding the reliability of financial reporting and the preparation of financial statements for external purposes in accordance with generally accepted accounting principles. A company's internal control over financial reporting includes those policies and procedures that (1) pertain to the maintenance of records that, in reasonable detail, accurately and fairly reflect the transactions and dispositions of the assets of the company; (2) provide reasonable assurance that transactions are recorded as necessary to permit preparation of financial statements in accordance with generally accepted accounting principles, and that receipts and expenditures of the company are being made only in accordance with authorizations of management and directors of the company; and (3) provide reasonable assurance regarding prevention or timely detection of unauthorized acquisition, use, or disposition of the company's assets that could have a material effect on the financial statements.

Because of its inherent limitations, internal control over financial reporting may not prevent or detect misstatements. Also, projections of any evaluation of effectiveness to future periods are subject to the risk that controls may become inadequate because of changes in conditions, or that the degree of compliance with the policies or procedures may deteriorate.

The logo for Ernst & Young LLP, featuring the company name in a stylized, handwritten-style font.

Dallas, Texas  
February 19, 2020

## Consolidated Statements of Comprehensive Income

For the years ended December 31,	2019	2018	2017
(In thousands, except per share amounts)			
Revenues:			
Software licenses and royalties	\$ 100,205	\$ 93,441	\$ 86,242
Subscriptions	296,352	220,547	172,176
Software services	213,061	191,269	180,460
Maintenance	430,318	384,521	359,319
Appraisal services	23,479	21,846	25,023
Hardware and other	23,012	23,658	17,679
Total revenues	1,086,427	935,282	840,899
Cost of revenues:			
Software licenses and royalties	3,938	3,802	3,321
Acquired software	30,642	22,972	21,686
Software services, maintenance and subscriptions	502,138	438,923	387,634
Appraisal services	15,337	14,299	16,286
Hardware and other	17,472	15,708	12,595
Total cost of revenues	569,527	495,704	441,522
Gross profit	516,900	439,578	399,377
Selling, general and administrative expenses	257,746	207,605	175,914
Research and development expense	81,342	63,264	47,324
Amortization of customer and trade name intangibles	21,445	16,217	13,381
Operating income	156,367	152,492	162,758
Other income, net	3,471	3,378	698
Income before income taxes	159,838	155,870	163,456
Income tax provision (benefit)	13,311	8,408	(6,115)
Net income	\$ 146,527	\$ 147,462	\$ 169,571
Earnings per common share:			
Basic	\$ 3.79	\$ 3.84	\$ 4.55
Diluted	\$ 3.65	\$ 3.68	\$ 4.32

See accompanying notes.

## Consolidated Balance Sheets

December 31,	2019	2018
(In thousands, except par value and share amounts)		
<b>ASSETS</b>		
Current Assets:		
Cash and cash equivalents	\$ 232,682	\$ 134,279
Accounts receivable (less allowance for losses and sales adjustments of \$5,738 in 2019 and \$4,647 in 2018)	374,089	298,912
Short-term investments	39,399	44,306
Prepaid expenses	24,717	33,258
Income tax receivable	6,482	4,697
Other current assets	2,328	3,406
Total current assets	679,697	518,858
Accounts receivable, long-term	22,432	16,020
Operating lease right-of-use assets	18,992	—
Property and equipment, net	171,861	155,177
Other assets:		
Goodwill	840,117	753,718
Other intangibles, net	378,914	276,852
Non-current investments and other assets	79,601	70,338
	<b>\$ 2,191,614</b>	<b>\$ 1,790,963</b>
<b>LIABILITIES AND SHAREHOLDERS' EQUITY</b>		
Current liabilities:		
Accounts payable	\$ 14,977	\$ 6,910
Accrued liabilities	75,234	66,480
Operating lease liabilities	6,387	—
Deferred revenue	412,495	350,512
Total current liabilities	509,093	423,902
Revolving line of credit	—	—
Deferred revenue, long-term	199	424
Deferred income taxes	48,442	41,791
Operating lease liabilities, long-term	16,822	—
Commitments and contingencies		
Shareholders' equity:		
Preferred stock, \$10.00 par value; 1,000,000 shares authorized, none issued	—	—
Common stock, \$0.01 par value; 100,000,000 shares authorized; 48,147,969 shares issued in 2019 and 2018	481	481
Additional paid-in capital	739,478	731,435
Accumulated other comprehensive loss, net of tax	(46)	(46)
Retained earnings	917,336	771,925
Treasury stock, at cost; 8,839,352 and 9,872,505 shares in 2019 and 2018, respectively	(40,191)	(178,949)
Total shareholders' equity	1,617,058	1,324,846
	<b>\$ 2,191,614</b>	<b>\$ 1,790,963</b>

See accompanying notes.

## Consolidated Statements of Cash Flows

For the years ended December 31,	2019	2018	2017
(In thousands)			
Cash flows from operating activities:			
Net income	\$ 146,527	\$ 147,462	\$ 169,571
Adjustments to reconcile net income to cash provided by operations:			
Depreciation and amortization	76,672	61,759	53,395
Share-based compensation expense	59,967	52,740	37,348
Provision for losses and sales adjustments - accounts receivable	1,636	(569)	2,031
Operating lease right-of-use assets - non cash	5,397	—	—
Deferred income tax benefit	(6,088)	(5,069)	(33,664)
Changes in operating assets and liabilities, exclusive of effects of acquired companies:			
Accounts receivable	(65,738)	(50,916)	(33,091)
Income tax receivable	(1,925)	6,642	(8,444)
Prepaid expenses and other current assets	(8,976)	(588)	(6,958)
Accounts payable	7,403	(2,416)	878
Operating lease liabilities	(6,113)	—	—
Accrued liabilities	1,516	(2,445)	6,050
Deferred revenue	44,442	43,603	8,639
Net cash provided by operating activities	254,720	250,203	195,755
Cash flows from investing activities:			
Additions to property and equipment	(37,236)	(27,424)	(43,057)
Purchase of marketable security investments	(54,742)	(115,625)	(59,779)
Proceeds from marketable security investments	70,796	81,205	28,786
Capitalized software development costs	(4,804)	—	—
Cost of acquisitions, net of cash acquired	(218,734)	(178,093)	(11,344)
(Increase) decrease in other	(295)	1,682	(1)
Net cash used by investing activities	(245,015)	(238,255)	(85,395)
Cash flows from financing activities:			
Decrease in net borrowings on revolving line of credit	—	—	(10,000)
Purchase of treasury shares	(17,786)	(146,553)	(7,474)
Proceeds from exercise of stock options	96,908	74,907	49,845
Contributions from employee stock purchase plan	9,576	8,051	7,044
Net cash provided (used) by financing activities	88,698	(63,595)	39,415
Net increase (decrease) in cash and cash equivalents	98,403	(51,647)	149,775
Cash and cash equivalents at beginning of period	134,279	185,926	36,151
Cash and cash equivalents at end of period	\$ 232,682	\$ 134,279	\$ 185,926

See accompanying notes.

## Consolidated Statements of Shareholders' Equity

For the years ended December 31, 2019, 2018 and 2017

	Common Stock		Additional Paid-in Capital	Accumulated Other Comprehensive Income (Loss)	Retained Earnings	Treasury stock		Total Shareholders' Equity
	Shares	Amount				Shares	Amount	
(In thousands)								
Balance at December 31, 2016	48,148	\$ 481	\$ 556,663	\$ (46)	\$ 454,892	(11,382)	\$ (77,449)	\$ 934,541
Net income	—	—	—	—	\$ 169,571	—	—	\$ 169,571
Issuance of shares pursuant to stock compensation plan	—	—	28,174	—	—	1,113	21,671	49,845
Stock compensation	—	—	37,348	—	—	—	—	37,348
Issuance of shares pursuant to employee stock purchase plan	—	—	4,682	—	—	51	2,362	7,044
Treasury stock purchases	—	—	—	—	—	(44)	(6,613)	(6,613)
Balance at December 31, 2017	48,148	481	626,867	(46)	624,463	(10,262)	(60,029)	1,191,736
Net income	—	—	—	—	147,462	—	—	147,462
Issuance of shares pursuant to stock compensation plan	—	—	44,458	—	—	1,126	30,449	74,907
Stock compensation	—	—	52,740	—	—	—	—	52,740
Issuance of shares pursuant to employee stock purchase plan	—	—	7,370	—	—	45	681	8,051
Treasury stock purchases	—	—	—	—	—	(781)	(150,050)	(150,050)
Balance at December 31, 2018	48,148	481	731,435	(46)	771,925	(9,872)	(178,949)	1,324,846
Net income	—	—	—	—	146,527	—	—	146,527
Retained earnings adjustment-adoption of Topic 842 Leases, net of taxes	—	—	—	—	(1,116)	—	—	(1,116)
Exercise of stock options and vesting of restricted stock units	—	—	(52,833)	—	—	1,075	149,741	96,908
Employee taxes paid for withheld shares for taxes upon equity award	—	—	—	—	—	(23)	(5,361)	(5,361)
Stock compensation	—	—	59,967	—	—	—	—	59,967
Issuance of shares pursuant to employee stock purchase plan	—	—	909	—	—	53	8,667	9,576
Treasury stock purchases	—	—	—	—	—	(72)	(14,289)	(14,289)
Balance at December 31, 2019	48,148	\$ 481	\$ 739,478	\$ (46)	\$ 917,336	(8,839)	\$ (40,191)	\$1,617,058

See accompanying notes.

## Notes to Consolidated Financial Statements

(Tables in thousands, except per share data)

### (1) SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

#### DESCRIPTION OF BUSINESS

We provide integrated software systems and related services for the public sector, with a focus on local governments. We develop and market a broad line of software solutions and services to address the information technology (“IT”) needs primarily of cities, counties, schools and other local government entities. In addition, we provide professional IT services, including software and hardware installation, data conversion, training, and for certain customers, product modifications, along with continuing maintenance and support for customers using our systems. We also provide subscription-based services such as software as a service (“SaaS”) arrangements, which primarily utilize the Tyler private cloud, and electronic document filing solutions (“e-filing”). In addition, we provide property appraisal outsourcing services for taxing jurisdictions.

#### PRINCIPLES OF CONSOLIDATION

The consolidated financial statements include our parent company and sixteen subsidiaries, which are wholly-owned. All significant intercompany balances and transactions have been eliminated in consolidation. Comprehensive income is defined as the change in equity of a business enterprise during a period from transactions, and other events and circumstances from non-owner sources and includes all components of net income (loss) and other comprehensive income (loss). We had no items of other comprehensive income (loss) during the years ended December 31, 2019, 2018 and 2017.

#### CASH AND CASH EQUIVALENTS

Cash in excess of that necessary for operating requirements is invested in short-term, highly liquid, income-producing investments. Investments with original maturities of three months or less are classified as cash and cash equivalents, which primarily consist of cash on deposit with several banks and money market funds. Cash and cash equivalents are stated at cost, which approximates market value.

#### REVENUE RECOGNITION

##### Nature of Products and Services

We earn revenue from software licenses, royalties, subscription-based services, software services, post-contract customer support (“PCS” or “maintenance”), hardware, and appraisal services. Revenue is recognized upon transfer of control of promised products or services to customers in an amount that reflects the consideration we expect to receive in exchange for those products or services. We determine revenue recognition through the following steps:

- Identification of the contract, or contracts, with a customer
- Identification of the performance obligations in the contract
- Determination of the transaction price
- Allocation of the transaction price to the performance obligations in the contract
- Recognition of revenue when, or as, we satisfy a performance obligation

Most of our software arrangements with customers contain multiple performance obligations that range from software licenses, installation, training, and consulting to software modification and customization to meet specific customer needs (services), hosting, and PCS. For these contracts, we account for individual performance obligations separately when they are distinct. We evaluate whether separate performance obligations can be distinct or should be accounted for as one performance obligation. Arrangements that include software services, such as training or installation, are evaluated to determine whether those services are highly interdependent or interrelated to the product’s functionality. The transaction price is allocated to the distinct performance obligations on a relative standalone selling price (“SSP”) basis. We determine the SSP based on our overall pricing objectives, taking into consideration market conditions and other factors, including the value of our contracts, the applications sold, customer demographics, and the number and types of users within our contracts. Revenue is recognized net of allowances for sales adjustments and any taxes collected from customers, which are subsequently remitted to governmental authorities.

## Notes to Consolidated Financial Statements

### Software Arrangements:

#### Software Licenses and Royalties

Many of our software arrangements involve “off-the-shelf” software. We recognize the revenue allocable to “off-the-shelf” software licenses and specified upgrades at a point in time when control of the software license transfers to the customer, unless the software is not considered distinct. We consider off-the-shelf software to be distinct when it can be added to an arrangement with minor changes in the underlying code, it can be used by the customer for the customer’s purpose upon installation, and remaining services such as training are not considered highly interdependent or interrelated to the product’s functionality.

For arrangements that involve significant production, modification or customization of the software, or where software services are otherwise not considered distinct, we recognize revenue over time by measuring progress-to-completion. We measure progress-to-completion primarily using labor hours incurred as it best depicts the transfer of control to the customer which occurs as we incur costs on our contracts. These arrangements are often implemented over an extended period and occasionally require us to revise total cost estimates. Amounts recognized in revenue are calculated using the progress-to-completion measurement after giving effect to any changes in our cost estimates. Changes to total estimated contract costs, if any, are recorded in the period they are determined. Estimated losses on uncompleted contracts are recorded in the period in which we first determine that a loss is apparent.

Software license fees are billed in accordance with the contract terms. Typically, a majority of the fee is due when access to the software license is made available to the customer and the remainder of the fee due over a passage of time stipulated by the contract. We record amounts that have been invoiced in accounts receivable and in deferred revenue or revenues, depending on whether the revenue recognition criteria have been met.

We recognize royalty revenue when the sale occurs under the terms of our third-party royalty arrangements. Currently, our third-party royalties are recognized on an estimated basis and are trued up when we receive notice of amounts we are entitled to receive. We typically receive notice of royalty revenues we are entitled to and billed on a quarterly basis in the quarter immediately following the royalty reporting period.

#### Software Services

As noted above, some of our software arrangements include services considered highly interdependent or highly interrelated or require significant customization to meet the customer’s desired functionality. For these software arrangements, both the software licenses and related software services revenue are not distinct and are recognized over time using the progress-to-completion method. We measure progress-to-completion primarily using labor hours incurred as it best depicts the transfer of control to the customer which occurs as we incur costs on our contracts. Contract fees are typically billed on a milestone basis as defined within contract terms. We record amounts that have been invoiced in accounts receivable and in deferred revenue or revenues, depending on whether the revenue recognition criteria have been met. When software services are distinct, the fee allocable to the service element is recognized over the time we perform the services and is billed on a time and material basis.

#### Post-Contract Customer Support

Our customers generally enter into PCS agreements when they purchase our software licenses. PCS includes telephone support, bug fixes, and rights to upgrades on a when-and-if available basis. PCS is considered distinct when purchased with our software licenses. Our PCS agreements are typically renewable annually. PCS is recognized over time on a straight-line basis over the period the PCS is provided. All significant costs and expenses associated with PCS are expensed as incurred.

#### Computer Hardware Equipment

Revenue allocable to computer hardware equipment is recognized at a point in time when control of the equipment is transferred to the customer.

## Notes to Consolidated Financial Statements

### Subscription-Based Services:

Subscription-based services consist primarily of revenues derived from SaaS arrangements, typically utilizing the Tyler private cloud, and electronic filing transactions. Revenue from subscription-based services is generally recognized over time on a ratable basis over the contract term, beginning on the date that our service is made available to the customer. Our subscription contracts are generally three to five years or longer in length, billed annually in advance, and non-cancelable.

For SaaS arrangements, we evaluate whether the customer has the contractual right to take possession of our software at any time during the hosting period without significant penalty and whether the customer can feasibly maintain the software on the customer's hardware or enter into another arrangement with a third-party to host the software. We allocate contract value to each performance obligation of the arrangement that qualifies for treatment as a distinct element based on estimated SSP. We recognize SaaS arrangements services ratably over the term of the arrangement, which range from one to ten years, but are typically for a period of three to five years. For software services associated with certain SaaS arrangements, we have concluded that the services are not distinct, and we recognize the revenue ratably over the remaining contractual period once we have provided the customer access to the software. We record amounts that have been invoiced in accounts receivable and in deferred revenue or revenues, depending on whether the revenue recognition criteria have been met.

Electronic filing transaction fees primarily pertain to documents filed with the courts by attorneys and other third-parties via our e-filing services and retrieval of filed documents via our access services. For each document filed with a court, the filer generally pays a transaction fee and a court filing fee to us and we remit a portion of the transaction fee and the filing fee to the court. We record as revenue the transaction fee, while the portion of the transaction fee remitted to the courts is recorded as cost of revenues as we are acting as a principal in the arrangement. Court filing fees collected on behalf of the courts and remitted to the courts are recorded on a net basis and thus do not affect the statement of comprehensive income.

Other transaction-based fees primary relate to online payment services, which are offered with the assistance of third-party vendors. In general, when we are the principal in a transaction based on the factors identified in ASC 606-10-55-36 through 55-40, we record the revenue and related costs on a gross basis. Otherwise, we net the cost of revenue associated with the service against the gross revenue (amount billed to the customer) and record the net amount as revenue.

For e-filing transaction fees and other transaction-based revenues, we have the right to charge the customer an amount that directly corresponds with the value to the customer of our performance to date. Therefore, we recognize revenue for these services over time based on the amount billable to the customer in accordance with the 'as invoiced' practical expedient in ASC 606-10-55-18. In some cases, we are paid on a fixed fee basis and recognize the revenue ratably over the contractual period.

Costs of performing services under subscription-based arrangements are expensed as incurred, except for certain direct and incremental contract origination and set-up costs associated with SaaS arrangements. Such direct and incremental costs are capitalized and amortized ratably over the useful life.

### Appraisal Services:

For our property appraisal projects, we recognize revenue using the progress-to-completion method since many of these projects are executed over one to three-year periods and consist of various unique activities. Appraisal services require a significant level of integration and interdependency with various individual service components; therefore, the service components are not considered distinct. Appraisal services are recognized over time by measuring progress-to-completion primarily using labor hours incurred as it best depicts the transfer of control to the customer which occurs as we incur costs on our contracts. These arrangements are often executed over an extended period and occasionally require us to revise total cost estimates. Amounts recognized in revenue are calculated using the progress-to-completion measurement after giving effect to any changes in our cost estimates. Changes to total estimated contract costs, if any, are recorded in the period they are determined. Estimated losses on uncompleted contracts are recorded in the period in which we first determine that a loss is apparent. Contract fees are typically billed on a milestone basis as defined within contract terms. We record amounts that have been invoiced in accounts receivable and in deferred revenue or revenues, depending on whether the revenue recognition criteria have been met.

## Notes to Consolidated Financial Statements

### Significant Judgments:

Our contracts with customers often include multiple performance obligations to a customer. When a software arrangement (license or subscription) includes both software licenses and software services, judgment is required to determine whether the software license is considered distinct and accounted for separately, or not distinct and accounted for together with the software services and recognized over time.

The transaction price is allocated to the separate performance obligations on a relative SSP basis. We determine the SSP based on our overall pricing objectives, taking into consideration market conditions and other factors, including the value of our contracts, the applications sold, customer demographics, and the number and types of users within our contracts. We use a range of amounts to estimate SSP when we sell each of the products and services separately and need to determine whether there is a discount to be allocated based on the relative SSP of the various products and services. In instances where SSP is not directly observable, such as when we do not sell the product or service separately, we determine SSP using the expected cost-plus margin approach.

For arrangements that involve significant production, modification or customization of the software, or where software services otherwise cannot be considered distinct, we recognize revenue as control is transferred to the customer over time using progress-to-completion methods. Depending on the contract, we measure progress-to-completion primarily using labor hours incurred, or value added. The progress-to-completion method generally results in the recognition of reasonably consistent profit margins over the life of a contract because we can provide reasonably dependable estimates of contract billings and contract costs. We use the level of profit margin that is most likely to occur on a contract. If the most likely profit margin cannot be precisely determined, the lowest probable level of profit margin in the range of estimates is used until the results can be estimated more precisely. These arrangements are often implemented over an extended time period and occasionally require us to revise total cost estimates. Amounts recognized in revenue are calculated using the progress-to-completion measurement after giving effect to any changes in our cost estimates. Changes to total estimated contract costs, if any, are recorded in the period they are determined. Estimated losses on uncompleted contracts are recorded in the period in which we first determine that a loss is apparent.

Typically, the structure of our arrangements does not give rise to variable consideration. However, in those instances whereby variable consideration exists, we include in our estimates additional revenue for variable consideration when we believe we have an enforceable right, the amount can be estimated reliably and its realization is probable.

Refer to Note 15 – “Disaggregation of Revenue” for further information, including the economic factors that affect the nature, amount, timing, and uncertainty of revenue and cash flows of our various revenue categories.

### Contract Balances:

#### Accounts receivable and allowance for doubtful accounts and sales adjustments

Timing of revenue recognition may differ from the timing of invoicing to customers. We record an unbilled receivable when revenue is recognized prior to invoicing, or deferred revenue when revenue is recognized subsequent to invoicing. For multi-year agreements, we generally invoice customers annually at the beginning of each annual coverage period. We record an unbilled receivable related to revenue recognized for on-premises licenses as we have an unconditional right to invoice and receive payment in the future related to those licenses.

We maintain allowances for doubtful accounts, which are provided at the time the revenue is recognized. Since most of our customers are domestic governmental entities, we rarely incur a loss resulting from credit risk associated with the inability of a customer to make required payments. Events or changes in circumstances that indicate the carrying amount for the allowances for doubtful accounts may require revision include, but are not limited to, deterioration of a customer's financial condition, failure to manage our customer's expectations regarding the scope of the services to be delivered, and defects or errors in new versions or enhancements of our software products.

## Notes to Consolidated Financial Statements

The following table summarizes the changes in the allowances for doubtful accounts and sales adjustments (in thousands):

Years Ended December 31,	2019	2018	2017
Balance at beginning of year	\$ 4,647	\$ 5,427	\$ 3,396
Provisions for losses and sales adjustments - accounts receivable	1,636	(569)	2,031
Collection of accounts previously written off	(545)	(211)	—
Balance at end of year	\$ 5,738	\$ 4,647	\$ 5,427

The allowance for doubtful accounts and sales adjustments reflects our best estimate of probable losses inherent in the accounts receivable balance. We determine the allowance based on known troubled accounts, historical experience, and other currently available evidence.

In connection with our appraisal services contracts and certain software services contracts, we may perform work prior to when the software and services are billable and/or payable pursuant to the contract. Unbilled revenue is not billable at the balance sheet date but is recoverable over the remaining life of the contract through billings made in accordance with contractual agreements. The termination clauses in most of our contracts provide for the payment for the value of products delivered or services performed in the event of early termination. We have historically recorded such unbilled receivables (costs and estimated profit in excess of billings) in connection with (1) property appraisal services contracts accounted for using progress-to-completion method of revenue recognition using labor hours as a measure of progress towards completion in which the services are performed in one accounting period but the billing normally occurs subsequently and may span another accounting period; (2) software services contracts accounted for using progress-to-completion method of revenue recognition using labor hours as a measure of progress towards completion in which the services are performed in one accounting period but the billing for the software element of the arrangement may be based upon the specific phase of the implementation; (3) software revenue for which we have recognized revenue at the point in time when the software is made available to the customer but the billing has not yet been submitted to the customer; (4) some of our contracts which provide for an amount to be withheld from a progress billing (generally between 5% and 20% retention) until final and satisfactory project completion is achieved; and (5) in a limited number of cases, extended payment terms, which may be granted to customers with whom we generally have a long-term relationship and favorable collection history.

As of December 31, 2019, and December 31, 2018, total current and long-term accounts receivable, net of allowance for doubtful accounts, was \$396.5 million and \$314.9 million, respectively. We have recorded unbilled receivables of \$134.0 million and \$104.2 million at December 31, 2019, and December 31, 2018, respectively. Included in unbilled receivables are retention receivables of \$13.1 million and \$12.2 million at December 31, 2019, and December 31, 2018, respectively, which become payable upon the completion of the contract or completion of our fieldwork and formal hearings. Unbilled receivables expected to be collected within one year have been included with accounts receivable, current portion in the accompanying consolidated balance sheets. Unbilled receivables and retention receivables expected to be collected past one year have been included with accounts receivable, long-term portion in the accompanying consolidated balance sheets.

Payment terms and conditions vary by contract type, although terms generally include a requirement of payment within 30 to 90 days. In instances where the timing of revenue recognition differs from the timing of invoicing, we have determined our contracts generally do not include a significant financing component. The primary purpose of our invoicing terms is to provide customers with simplified and predictable ways of purchasing our products and services, not to receive financing from our customers or to provide customers with financing. Examples include invoicing at the beginning of a subscription term with revenue recognized ratably over the contract period, and multi-year on-premises term licenses that are invoiced annually with revenue recognized upfront.

## Notes to Consolidated Financial Statements

### Deferred Revenue

The majority of deferred revenue consists of deferred maintenance revenue that has been billed based on contractual terms in the underlying arrangement, with the remaining balance consisting of payments received in advance of revenue being earned under software licensing, subscription-based services, software and appraisal services and hardware installation. Refer to Note 16 – “Deferred Revenue and Performance Obligations” for further information, including deferred revenue by segment and changes in deferred revenue during the period.

### Deferred Commissions

Sales commissions earned by our sales force are considered incremental and recoverable costs of obtaining a contract with a customer. Sales commissions for initial contracts are deferred and then amortized on a straight-line basis over a period of benefit that we have determined to be three to seven years. We utilized the “portfolio approach” practical expedient in ASC 606-10-10-4, which allows entities to apply the guidance to a portfolio of contracts with similar characteristics because the effects on the financial statements of this approach would not differ materially from applying the guidance to individual contracts. Using the ‘portfolio approach’, we determined the period of benefit by taking into consideration our customer contracts, our technology life-cycle and other factors. Sales commissions for renewal contracts are generally not paid in connection with the renewal of a contract. In the small number of instances where a commission is paid on a renewal, it is not commensurate with the commission paid on the initial sale and is recognized over the term of renewal, which is generally one year. Amortization expense related to deferred commissions is included in selling, general and administrative expenses in the accompanying consolidated statements of income. Refer to Note 17 – “Deferred Commissions” for further information.

Prepaid expenses and other current assets include direct and incremental costs such as commissions associated with arrangements for which revenue recognition has been deferred. Such costs are expensed at the time the related revenue is recognized.

### USE OF ESTIMATES

The preparation of our financial statements in conformity with accounting principles generally accepted in the United States (“GAAP”) requires us to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Significant items subject to such estimates and assumptions include revenue recognition, determining the nature and timing of satisfaction of performance obligations, determining the SSP of performance obligations, variable consideration, and other obligations such as returns and refunds; loss contingencies; the estimated useful life of deferred commissions; the carrying amount and estimated useful lives of intangible assets; the carrying amount of operating lease right-of-use assets and operating lease liabilities; determining share-based compensation expense; the valuation allowance for receivables; and determining the potential outcome of future tax consequences of events that have been recognized on our consolidated financial statements or tax returns. Actual results could differ from estimates.

### PROPERTY AND EQUIPMENT, NET

Property, equipment and purchased software are recorded at original cost and increased by the cost of any significant improvements after purchase. We expense maintenance and repairs when incurred. Depreciation and amortization is calculated using the straight-line method over the shorter of the asset’s estimated useful life or the term of the lease in the case of leasehold improvements. For income tax purposes, we use accelerated depreciation methods as allowed by tax laws.

### RESEARCH AND DEVELOPMENT COSTS

We expensed research and development expense of \$81.3 million in 2019, \$63.3 million in 2018, and \$47.3 million in 2017.

## Notes to Consolidated Financial Statements

### INCOME TAXES

Income taxes are accounted for under the asset and liability method. Deferred taxes arise because of different treatment between financial statement accounting and tax accounting, known as “temporary differences”. We record the tax effect of these temporary differences as “deferred tax assets” (generally items that can be used as a tax deduction or credit in the future periods) and “deferred tax liabilities” (generally items that we received a tax deduction for, which have not yet been recorded in the income statement). The deferred tax assets and liabilities are measured using enacted tax rules and laws that are expected to be in effect when the temporary differences are expected to be recovered or settled. A valuation allowance would be established to reduce deferred tax assets if it is more likely than not that a deferred tax asset will not be “realized.” On December 22, 2017, the Tax Cuts and Jobs Act (the “Tax Act”) was enacted into law. The Tax Act amends the Internal Revenue Code to reduce tax rates and modify policies, credits and deductions for individuals and businesses. For businesses, the Tax Act reduces the corporate U.S. federal tax rate from a maximum of 35% to a flat 21% rate and transitions from a worldwide tax system to a territorial tax system. Under ASC 740 Income Taxes, the effects of changes in tax rates and laws are recognized in the period in which the new legislation is enacted.

### SHARE-BASED COMPENSATION

We have a share-based award plan that provides for the grant of stock options, restricted stock units, and performance share units to key employees, directors and non-employee consultants. Stock options generally vest after three to six years of continuous service from the date of grant and have a contractual term of 10 years. Restricted stock unit grants generally vest ratably over three to five years of continuous service from the date of grant. Each performance share unit represents the right to receive one share of our common stock based on our achievement of certain financial performance targets during applicable performance periods. We account for share-based compensation utilizing the fair value recognition pursuant to ASC 718, Stock Compensation. See Note 9 – “Share-Based Compensation” for further information.

### GOODWILL AND OTHER INTANGIBLE ASSETS

#### Goodwill

Goodwill represents the excess of the purchase price over the fair value of net assets acquired, including identifiable intangible assets, in connection with our business combinations. Upon acquisition, goodwill is assigned to the reporting unit that is expected to benefit from the synergies of the business combination, which is the reporting unit to which the related acquired technology is assigned. A reporting unit is the operating segment, or a business unit one level below that operating segment, for which discrete financial information is prepared and regularly reviewed by executive management.

We assess goodwill for impairment annually as of April 1st, or more frequently whenever events or changes in circumstances indicate its carrying value may not be recoverable. We begin with the qualitative assessment of whether it is more likely than not that a reporting unit's fair value is less than its carrying value before applying the quantitative assessment described below. If it is determined through the evaluation of events or circumstances that the carrying value may not be recoverable, we perform a comparison of the estimated fair value of the reporting unit to which the goodwill has been assigned to the sum of the carrying value of the assets and liabilities of that unit. If the sum of the carrying value of the assets and liabilities of a reporting unit exceeds the estimated fair value of that reporting unit, the carrying value of the reporting unit's goodwill is reduced to its fair value through an adjustment to the goodwill balance, resulting in an impairment charge. The fair values calculated in our impairment tests are determined using discounted cash flow models involving several assumptions. The assumptions that are used are based upon what we believe a hypothetical marketplace participant would use in estimating fair value. We evaluate the reasonableness of the fair value calculations of our reporting units by comparing the total of the fair value of all of our reporting units to our total market capitalization. Our annual goodwill impairment analysis, which we performed qualitatively during the second quarter of 2019, did not result in an impairment charge.

There have been no impairments of intangible assets in any of the periods presented. See Note 4 – “Goodwill and Other Intangible Assets” for additional information.

#### Other Intangible Assets

We make judgments about the recoverability of purchased intangible assets other than goodwill whenever events or changes in circumstances indicate that an impairment may exist. Customer base and acquired software each comprise approximately half of our purchased intangible assets other than goodwill. We review our customer turnover each year for indications of impairment. Our customer turnover has historically been very low. If indications of impairment are determined to exist, we measure the recoverability of assets by a comparison of the carrying amount of the asset to the estimated undiscounted future cash flows expected to be generated by the asset. If the carrying amount of the assets exceeds their estimated future cash flows, an impairment charge is recognized for the amount by which the carrying amount of the assets exceeds the fair value of the assets. There have been no impairments of intangible assets in any of the periods presented.

## Notes to Consolidated Financial Statements

### IMPAIRMENT OF LONG-LIVED ASSETS

We periodically evaluate whether current facts or circumstances indicate that the carrying value of our property and equipment or other long-lived assets to be held and used may not be recoverable. If such circumstances are determined to exist, we measure the recoverability of assets to be held and used by a comparison of the carrying amount of the asset or appropriate grouping of assets and the estimated undiscounted future cash flows expected to be generated by the assets. If the carrying amount of the assets exceeds their estimated future cash flows, an impairment charge is recognized for the amount by which the carrying amount of the assets exceeds the fair value of the assets. Assets to be disposed of would be separately presented in the balance sheet and reported at the lower of the carrying amount or fair value less costs to sell and would no longer be depreciated. The assets and liabilities of a disposed group or classified as held for sale would be presented separately in the appropriate asset and liability sections of the balance sheet. There have been no significant impairments of long-lived assets in any of the periods presented.

### COSTS OF COMPUTER SOFTWARE

We capitalize software development costs upon the establishment of technological feasibility and prior to the availability of the product for general release to customers. Software development costs primarily consist of personnel costs and rent for related office space. We capitalized approximately \$4.8 million of software development costs in 2019. We begin to amortize capitalized costs when a product is available for general release to customers. Amortization expense is determined on a product-by-product basis at a rate not less than straight-line basis over the product's remaining estimated economic life of, generally, five years. Amortization of software development costs was approximately \$296,000 in 2019, and is included in cost of software license revenue in the accompanying consolidated statements of comprehensive income. We have not capitalized any internal use software development costs in any of the periods presented.

### CONTINGENT PURCHASE CONSIDERATION

Contingent future cash payments related to acquisitions are recognized at fair value as of the acquisition date and included in the determination of the acquisition date purchase price. Subsequent changes in the fair value of the contingent future cash payments are recognized in earnings in the period that the change occurs.

### FAIR VALUE OF FINANCIAL INSTRUMENTS

Cash and cash equivalents, accounts receivables, accounts payables, short-term obligations and certain other assets at cost approximate fair value because of the short maturity of these instruments. The fair value of our revolving line of credit would approximate book value as of December 31, 2019, because our interest rates reset approximately every 30 days or less. See Note 6 – "Revolving Line of Credit" for further discussion.

As of December 31, 2019, we have \$81.6 million in investment grade corporate bonds, municipal bonds and asset-backed securities with maturity dates ranging from 2020 through 2023. We intend to hold these bonds to maturity and have classified them as such. We believe cost approximates fair value. The fair values of these securities are considered Level II as they are based on inputs from quoted prices in markets that are not active or from other observable market data. These investments are included in short-term investments and non-current investments and other assets.

As of December 31, 2019, we have \$15.0 million invested in convertible preferred stock representing a 20% interest in Record Holdings Pty Limited, a privately held Australian company specializing in digitizing the spoken word in court and legal proceedings. The investment in convertible preferred stock is accounted under the cost method because we do not have the ability to exercise significant influence over the investee and the securities do not have readily determinable fair values. Our investment is carried at cost less any impairment write-downs. Our cost method investments are assessed annually for impairment. We do not reassess the fair value of cost method investments if there are no identified events or changes in circumstances that may have a significant adverse effect on the fair value of the investments. There has been no impairment of our cost method investment for the periods presented. This investment is included in non-current investments and other assets in the accompanying consolidated balance sheets.

## Notes to Consolidated Financial Statements

### CONCENTRATIONS OF CREDIT RISK

Financial instruments that potentially subject us to significant concentrations of credit risk consist principally of cash and cash equivalents, accounts receivable from trade customers, and investments in marketable securities. Our cash and cash equivalents primarily consist of operating account balances and money market funds, which are maintained at several major domestic financial institutions and the balances often exceed insured amounts. As of December 31, 2019, we had cash and cash equivalents of \$232.7 million. We perform periodic evaluations of the credit standing of these financial institutions.

Concentrations of credit risk with respect to receivables are limited due to the size and geographical diversity of our customer base. Historically, our credit losses have not been significant. As a result, we do not believe we have any significant concentrations of credit risk as of December 31, 2019.

We maintain allowances for doubtful accounts, which are provided at the time the revenue is recognized. Since most of our customers are domestic governmental entities, we rarely incur a loss resulting from the inability of a customer to make required payments. Events or changes in circumstances that indicate the carrying amount for the allowances for doubtful accounts may require revision include, but are not limited to, deterioration of a customer's financial condition, failure to manage our customer's expectations regarding the scope of the services to be delivered, and defects or errors in new versions or enhancements of our software products.

### LEASES

We determine if an arrangement is a lease at inception. Operating leases are included in operating lease right-of-use ("ROU") assets, and operating lease liabilities, current and long-term, on our consolidated balance sheets. We currently do not have any finance lease arrangements.

Operating lease ROU assets and operating lease liabilities are recognized based on the present value of the future minimum lease payments over the lease term at commencement date. As most of our leases do not provide an implicit rate, we use our incremental borrowing rate based on the information available at commencement date of the lease in determining the present value of future payments. The operating lease ROU asset also includes any lease payments made and excludes lease incentives and initial direct costs incurred. Our lease terms may include options to extend or terminate the lease when it is reasonably certain that we will exercise that option. Lease expense for minimum lease payments is recognized on a straight-line basis over the lease term. Leases with an initial term of 12 months or less are not recorded on the balance sheet; we recognize lease expense for these leases on a straight-line basis over the lease term. We have lease agreements with lease and non-lease components, which are generally accounted for as a single lease component.

### INDEMNIFICATION

Most of our software license agreements indemnify our customers in the event that the software sold infringes upon the intellectual property rights of a third-party. These agreements typically provide that in such event we will either modify or replace the software so that it becomes non-infringing or procure for the customer the right to use the software. We have recorded no liability associated with these indemnifications, as we are not aware of any pending or threatened infringement actions that are possible losses. We believe the estimated fair value of these intellectual property indemnification clauses is minimal.

We have also agreed to indemnify our officers and board members if they are named or threatened to be named as a party to any proceeding by reason of the fact that they acted in such capacity. We maintain directors' and officers' liability insurance coverage to protect against any such losses. We have recorded no liability associated with these indemnifications. Because of our insurance coverage, we believe the estimated fair value of these indemnification agreements is minimal.

### RECLASSIFICATIONS

Certain amounts for previous years have been reclassified to conform to the current year presentation.

## Notes to Consolidated Financial Statements

### RECENTLY ADOPTED ACCOUNTING PRONOUNCEMENTS

**Leases.** We adopted ASU No. 2016-02, *Leases* (“Topic 842”) using the transition method that allows us to initially apply the guidance at the adoption date of January 1, 2019, and recognized a cumulative-effect adjustment to the opening balance of retained earnings in the period of adoption. We used the package of practical expedients that allows us to not reassess: (1) lease classification for any expired or existing leases and (2) initial direct costs for any expired or existing leases. We did not elect to use the hindsight application for evaluating the life of the lease arrangement. The impact of adoption is reflected in the financial information herein. For additional details, see Note 11 to our consolidated financial statements.

The impact of Topic 842 on our consolidated balance sheet beginning January 1, 2019, included the recognition of ROU assets and operating lease liabilities, while our accounting for finance leases remained substantially unchanged. We had no finance leases prior to the adoption of Topic 842 and continue to have none as of December 31, 2019.

Amounts recognized at January 1, 2019, for operating leases were as follows:

In thousands	
Operating lease right-of-use assets	\$ 15,633
Operating lease liabilities	(4,344)
Operating lease liabilities, long-term	(12,405)
Retained earnings	\$ (1,116)

### NEW ACCOUNTING PRONOUNCEMENTS

In June 2016, the FASB issued ASU 2016-13, *Financial Instruments - Credit Losses*, (“ASU 2016-13”). ASU 2016-13 changes the impairment model for most financial assets and certain other instruments, including trade and other receivables, held-to-maturity debt securities and loans, and requires entities to use a new forward-looking expected loss model that will result in the earlier recognition of allowance for losses. This update is effective for fiscal years beginning after December 15, 2019, including interim periods within those fiscal years. Early adoption is permitted for a fiscal year beginning after December 15, 2018, including interim periods within that fiscal year. Entities will apply the standard's provisions as a cumulative-effect adjustment to retained earnings as of the beginning of the first reporting period in which the guidance is adopted. We will adopt the new standard in the first quarter of 2020. We have evaluated the impact of this standard on our consolidated financial statements, including accounting policies, processes and systems. Based on the nature of the Company's customer base and historical nature of losses, we do not expect the impact to be material upon adoption.

## (2) ACQUISITIONS

### 2019

On October 30, 2019, we acquired certain assets of Courthouse Technologies, Ltd (“CHT”), an industry-leading provider of jury management systems that offers a fully integrated, end-to-end SaaS solution to manage all facets of juror management, from source list generation to juror processing and payment. The total purchase price was approximately \$20.5 million of which \$19.1 million was paid in cash and approximately \$1.4 million was accrued for working capital and indemnity holdbacks, subject to certain post-closing adjustments.

On February 28, 2019, we acquired all of the capital stock of MP Holdings Parent, Inc. dba MicroPact (“MicroPact”), a leading provider of commercial off-the-shelf (“COTS”) solutions, including Entellitrak, a low-code application development platform for case management and business process management used extensively in the public sector. The total purchase price, net of cash acquired of \$2.0 million, was approximately \$202.2 million consisting of \$198.2 million paid in cash and accrued consideration of \$6.0 million contingent upon the achievement of certain financial performance objectives.

## Notes to Consolidated Financial Statements

We have performed a valuation analysis of the fair market value of MicroPact's assets and liabilities. The following table summarizes the final allocation of the purchase price as of the acquisition date:

In thousands	
Cash	\$ 1,983
Accounts receivable	10,535
Other current assets	8,979
Other noncurrent assets	10,417
Identifiable intangible assets	136,143
Goodwill	76,319
Accounts payable	(602)
Accrued expenses	(4,092)
Other noncurrent liabilities	(8,879)
Deferred revenue	(13,510)
Deferred tax liabilities, net	(13,125)
<b>Total consideration</b>	<b>\$ 204,168</b>

In connection with this transaction, we acquired total tangible assets of \$31.9 million and assumed liabilities of approximately \$27.1 million. We recorded goodwill of \$76.3 million, none of which is expected to be deductible for tax purposes, and other identifiable intangible assets of approximately \$136.1 million. The \$136.1 million of intangible assets are attributable to customer relationships, acquired software, trade name and favorable fair value of an operating lease and will be amortized over a weighted average period of approximately 11 years. We recorded deferred tax liabilities of \$13.1 million related to estimated fair value allocations.

The acquisition of MicroPact augments our product solutions, positions us in new practice areas such as health and human services, and presents opportunities to expand our business across new and complementary markets. We intend to expand our total addressable market through MicroPact's strong presence in the federal market. Therefore, the goodwill of \$76.3 million arising from this acquisition is primarily attributed to our ability to generate increased revenues, earnings and cash flow by expanding our addressable market and client base. In 2019, we recorded adjustments to the preliminary opening balance sheet attributed to changes in accounts receivable, deferred revenue, customer relationships, accrued expenses, working capital holdback and related deferred taxes resulting in a net decrease to goodwill of approximately \$5.7 million.

The following unaudited pro forma consolidated operating results information has been prepared as if the MicroPact acquisition had occurred at January 1, 2018, after giving effect to certain adjustments, including amortization of intangibles, interest, transaction costs and tax effects.

Twelve Months Ended December 31, unaudited	2019	2018
Revenues	\$ 1,098,226	\$ 1,009,427
Net income	146,200	146,998
Basic earnings per share	\$ 3.78	\$ 3.82
Dilutes earnings per share	\$ 3.65	\$ 3.66

## Notes to Consolidated Financial Statements

The pro forma information above does not include acquisitions that are not considered material to our results of operations. The pro forma information does not purport to represent what our results of operations actually would have been had such transaction occurred on the date specified or to project our results of operations for any future period.

On February 1, 2019, we acquired all the assets of Civic, LLC (“MyCivic”), a company that provides software solutions to connect communities. The total purchase price was \$3.7 million in cash.

As of December 31, 2019, the purchase price allocations for MicroPact and MyCivic are complete. As of December 31, 2019, the purchase price allocation for CHT is not yet complete; therefore, the preliminary valuation estimates of fair value assumed at the acquisition date for intangible assets, receivables and deferred revenue and related deferred taxes are subject to change as valuations are finalized.

The operating results of all 2019 acquisitions are included with the operating results of the Enterprise Software segment since their date of acquisition. Revenues from MicroPact included in Tyler's results of operations totaled approximately \$63.0 million and the net loss was approximately \$98,000 from the date of acquisition through December 31, 2019. The impact of the MyCivic and CHT acquisitions, individually and in the aggregate, on our operating results, assets and liabilities is not material. In 2019, we incurred fees of approximately \$1.1 million for financial advisory, legal, accounting, due diligence, valuation and other various services necessary to complete these acquisitions. These fees were expensed in 2019 and are included in selling, general and administrative expenses on the consolidated statement of comprehensive income.

Our balance sheet as of December 31, 2019, reflects the allocation of the purchase price to the assets acquired based on their fair value at the date of each acquisition. The fair value of the assets and liabilities acquired are based on valuations using Level III, unobservable inputs that are supported by little or no market activity and that are significant to the fair value of the assets or liabilities.

At December 31, 2019, the maximum aggregate amount of remaining contingent cash payments associated with our acquisitions is \$6.0 million and are payable in fiscal year 2020.

### 2018

On December 7, 2018, we acquired certain assets and intellectual property of SceneDoc, Inc., a company that provides mobile-first, SaaS field reporting for law enforcement agencies. The total purchase price was approximately \$6.2 million in cash.

On October 1, 2018, we acquired all of the equity interests of TradeMaster, Inc. dba MobileEyes, a company that develops SaaS software to improve public safety by supporting fire prevention and suppression, emergency response, and structural safety. The total purchase price was approximately \$5.3 million in cash.

On August 31, 2018, we acquired all of the assets of CaseloadPRO, L. P., a company that provides a fully featured SaaS probation case management system. The purchase price of \$9.3 million was paid in cash.

On April 30, 2018, we acquired all of the capital stock of Socrata, Inc. (“Socrata”), a company that provides open data and data-as-a-service solutions including cloud-based data integration, visualization, analysis, and reporting solutions for state and local government agencies. The purchase price, net of cash acquired of \$1.7 million, was \$147.6 million paid in cash.

On April 30, 2018, we acquired all of the equity interests of Sage Data Security, LLC, a cybersecurity company offering a suite of services that supports an entire cybersecurity lifecycle, including program development, education and training, technical testing, advisory services, and digital forensics. The total purchase price was \$11.6 million paid in cash.

The operating results of these acquisition are included in our results of operations of the Enterprise Software segment from their respective dates of acquisition.

## Notes to Consolidated Financial Statements

### 2017

On November 29, 2017, we acquired audio and digital two-way radio communications technology and related assets from Radio 10-33, LLC. The total purchase price was \$1.4 million, all of which was paid in cash.

On August 2, 2017, we acquired substantially all of the assets and assumed certain liabilities of Digital Health Department, Inc., a company that provides environmental health software, offering a SaaS solution for public health compliance and inspections processes. The total purchase price, net of debt assumed, was \$3.9 million, all of which was paid in cash.

On May 30, 2017, we acquired all of the capital stock of Modria.com, Inc., a company that specializes in online dispute resolution for government and commercial entities. The total purchase price, net of debt assumed, was \$6.1 million, all of which was paid in cash.

The operating results of these acquisition are included in our results of operations of the Enterprise Software segment from their respective dates of acquisition.

### (3) PROPERTY AND EQUIPMENT, NET

Property and equipment, net consists of the following at December 31:

	Useful lives (years)	2019	2018
Land	—	\$ 18,653	\$ 9,958
Building and leasehold improvements	5-39	137,448	122,241
Computer equipment and purchased software	3-5	99,435	84,649
Furniture and fixtures	5	28,506	27,238
Transportation equipment	5	402	438
		284,444	244,524
Accumulated depreciation and amortization		(112,583)	(89,347)
Property and equipment, net		\$ 171,861	\$ 155,177

Depreciation expense was \$23.4 million in 2019, \$21.2 million in 2018, and \$17.3 million in 2017.

We paid \$20.8 million and \$2.2 million for real estate and the expansion of existing buildings in 2019 and 2018, respectively.

In 2017, we purchased an office building in Latham, New York for approximately \$2.9 million and paid \$2.1 million for improvements to that building. We also paid \$19.4 million for construction to expand our office building in Yarmouth, Maine.

### (4) GOODWILL AND OTHER INTANGIBLE ASSETS

The changes in the carrying amount of goodwill for the two years ended December 31, 2019 are as follows:

	Enterprise Software	Appraisal and Tax	Total
Balance as of 12/31/2017	\$ 651,430	\$ 6,557	\$ 657,987
Goodwill acquired related to the purchase of Socrata	75,657	—	75,657
Goodwill acquired related to other acquisitions	20,074	—	20,074
Balance as of 12/31/2018	747,161	6,557	753,718
Goodwill acquired related to the purchase of MicroPact	76,319	—	76,319
Goodwill acquired related to other acquisitions	10,080	—	10,080
Balance as of 12/31/2019	\$ 833,560	\$ 6,557	\$ 840,117

## Notes to Consolidated Financial Statements

Other intangible assets and related accumulated amortization consists of the following at December 31:

	2019	2018
Gross carrying amount of other intangibles:		
Customer related intangibles	\$ 321,019	\$ 238,219
Acquired software	262,286	202,416
Trade names	22,905	16,905
Capitalized software development costs	4,804	—
Leases acquired	5,037	3,694
	<b>616,051</b>	461,234
Accumulated amortization	(237,137)	(184,382)
Total other intangibles, net	<b>\$ 378,914</b>	<b>\$ 276,852</b>

Amortization expense for acquired software and capitalized software development costs are recorded to cost of revenues. Amortization expense for customer relationships and trade names are recorded to selling, general and administrative expenses. Total amortization expense for other intangibles was \$52.8 million in 2019, \$39.6 million in 2018, and \$35.5 million in 2017.

The amortization periods of other intangible assets are summarized in the following table:

	December 31, 2019			December 31, 2018		
	Gross Carrying Amount	Weighted Average Amortization Period	Accumulated Amortization	Gross Carrying Amount	Weighted Average Amortization Period	Accumulated Amortization
Non-amortizable intangibles:						
Goodwill	\$ 840,117	\$ —	\$ —	\$ 753,718	—	\$ —
Amortizable intangibles:						
Customer related intangibles	321,019	16 years	97,320	238,219	15 years	78,120
Acquired software	262,286	7 years	130,416	202,416	7 years	99,772
Trade names	22,905	11 years	7,205	16,905	11 years	5,139
Capitalized software development costs	\$ 4,804	5 years	\$ 296	\$ —	—	\$ —
Leases acquired	5,037	9 years	1,900	3,694	10 years	1,351

Estimated annual amortization expense related to acquired leases will be recorded as a reduction to hardware and other revenue and is expected to be \$525,000 in 2020, \$525,000 in 2021, \$525,000 in 2022, \$525,000 in 2023, \$525,000 in 2024, and \$512,000 thereafter.

Estimated annual amortization expense related to other intangibles, including customer relationships, acquired software, trade names and capitalized software development costs is as follows:

2020	\$ 54,045
2021	53,687
2022	49,989
2023	31,838
2024	31,213
Thereafter	\$ 155,005

## Notes to Consolidated Financial Statements

### (5) ACCRUED LIABILITIES

Accrued liabilities consist of the following at December 31:

	2019	2018
Accrued wages, bonuses and commissions	\$ 49,126	\$ 40,100
Other accrued liabilities	26,108	26,380
	<b>\$ 75,234</b>	<b>\$ 66,480</b>

### (6) REVOLVING LINE OF CREDIT

On September 30, 2019, we entered into a \$400 million credit agreement (the "Credit Facility") with the various lenders party thereto and Wells Fargo Bank, National Association, as Administrative Agent. The Credit Agreement provides for an unsecured revolving credit facility in an aggregate principal amount of up to \$400.0 million, including a \$25.0 million sublimit for letters of credit. The Credit Facility matures on September 30, 2024. Borrowings under the Credit Facility may be used for general corporate purposes, including working capital requirements, acquisitions and share repurchases.

Borrowings under the Credit Facility bear interest at a rate of either (1) Wells Fargo Bank's prime rate (subject to certain higher rate determinations) plus a margin of 0.125% to 0.75% or (2) the 30, 60, 90 or 180-day LIBOR rate plus a margin of 1.125% to 1.75%. As of December 31, 2019, our interest rate was 4.88% under the prime rate option or approximately 2.89% under the 30-day LIBOR option. The Credit Facility requires us to maintain certain financial ratios and other financial conditions and prohibits us from making certain investments, advances, cash dividends or loans, and limits incurrence of additional indebtedness and liens. As of December 31, 2019, we were in compliance with those covenants.

As of December 31, 2019, we had no outstanding borrowings and had unused borrowing capacity of \$400 million under the Credit Facility. In addition, as of December 31, 2019, we had no outstanding letter of credit.

We paid interest of \$1,750,000 in 2019, \$770,000 in 2018, and \$804,000 in 2017.

### (7) INCOME TAX

The Income tax provision (benefit) on income from operations consists of the following:

Years Ended December 31,	2019	2018	2017
Current:			
Federal	\$ 12,814	\$ 9,110	\$ 22,883
State	6,585	4,367	4,666
	<b>19,399</b>	13,477	27,549
Deferred	(6,088)	(5,069)	(33,664)
	<b>\$ 13,311</b>	<b>\$ 8,408</b>	<b>\$ (6,115)</b>

## Notes to Consolidated Financial Statements

Reconciliation of the U.S. statutory income tax rate to our effective income tax expense rate for operations follows:

Years Ended December 31,	2019	2018	2017
Federal income tax expense at statutory rate	\$ 33,566	\$ 32,733	\$ 57,209
State income tax, net of federal income tax benefit	6,999	7,953	4,754
Domestic production activities deduction	—	—	(2,617)
Excess tax benefits related to stock option exercises	(29,819)	(32,487)	(40,624)
Tax Act adjustments	—	(1,750)	(25,992)
Tax credits	(3,446)	(3,715)	(3,578)
Non-deductible business expenses	6,011	5,655	4,573
Other, net	—	19	160
	<b>\$ 13,311</b>	<b>\$ 8,408</b>	<b>\$ (6,115)</b>

The tax effects of the major items recorded as deferred tax assets and liabilities as of December 31 are:

	2019	2018
Deferred income tax assets:		
Operating expenses not currently deductible	\$ 10,214	\$ 8,989
Stock option and other employee benefit plans	19,308	19,496
Loss and credit carryforwards	23,841	17,999
Total deferred income tax assets	53,363	46,484
Valuation allowance	(1,923)	(1,049)
Total deferred income tax assets, net of valuation allowance	51,440	45,435
Deferred income tax liabilities:		
Intangible assets	(84,019)	(70,752)
Property and equipment	(9,265)	(8,455)
Prepaid expenses	(4,922)	(4,079)
Deferred revenue	(1,676)	(3,940)
Total deferred income tax liabilities	(99,882)	(87,226)
Net deferred income tax liabilities	<b>\$ (48,442)</b>	<b>\$ (41,791)</b>

As of December 31, 2019, we had federal net operating loss carryforwards of approximately \$85.2 million, after-tax state net operating loss carryforwards of approximately \$3.1 million, and tax credit carryforwards of approximately \$4.8 million. The federal net operating loss carryforward will begin to expire in 2032 if not utilized, and a portion of the state net operating loss and tax credit carryforwards begin expiring in 2020 if not utilized.

The acquired carryforwards are subject to an annual limitation but are expected to be realized with the exception of certain state net operating loss and tax credit carryforwards. The valuation allowance disclosed in the table above relates to state net operating losses and tax credit carryforwards that are likely to expire before utilization. We believe it is more likely than not that all other deferred tax assets will be realized. However, the amount of the deferred tax asset considered realizable could be adjusted in the future if estimates of reversing taxable temporary differences are revised.

In connection with the acquisition of Socrata in 2018, we recorded a \$1.9 million liability for an uncertain tax position associated with acquired tax credit carryforwards. The unrecognized tax benefits are included in deferred income taxes in our consolidated balance sheets. The entire amount, if recognized, would affect the effective tax rate. There was no change in the balance of unrecognized tax benefits during 2019. Based on the information currently available, we do not anticipate a significant increase or decrease to our tax contingencies for these issues for the next 12 months.

## Notes to Consolidated Financial Statements

We are subject to U.S. federal income tax, as well as income tax of multiple state, local and foreign jurisdictions. We are routinely subject to income tax examinations by these taxing jurisdictions, but we do not have a history of, nor do we expect any material adjustments as a result of these examinations. With few exceptions, major U.S. federal, state, local and foreign jurisdictions are no longer subject to examination for years before 2015. As of February 19, 2020, no significant adjustments have been proposed by any taxing jurisdiction.

We paid income taxes, net of refunds received, of \$21.3 million in 2019, \$6.8 million in 2018, and \$36.0 million in 2017.

### (8) SHAREHOLDERS' EQUITY

The following table details activity in our common stock:

	Years Ended December 31,					
	2019		2018		2017	
	Shares	Amount	Shares	Amount	Shares	Amount
Stock option exercises	999	\$ 96,908	1,126	\$ 74,907	1,113	\$ 49,845
Purchases of common stock	(72)	(14,289)	(781)	(150,050)	(44)	(6,613)
Employee stock plan purchase	53	9,576	45	8,051	51	7,044
Employee stock plan purchase	53	(5,361)	—	—	—	—

As of February 19, 2020, we had authorization from our board of directors to repurchase up to 2.6 million additional shares of our common stock.

### (9) SHARE-BASED COMPENSATION

#### Share-Based Compensation Plan

In May 2018, shareholders approved the Tyler Technologies, Inc. 2018 Stock Incentive Plan ("the 2018 Plan") which amended and restated the existing Tyler Technologies, Inc. 2010 Stock Option Plan ("the 2010 Plan"). Upon shareholder approval of the 2018 Plan, the remaining shares available for grant under the 2010 Plan were added to the shares authorized for grant under the 2018 Plan. Additionally, any awards previously granted under the 2010 Plan that expire unexercised or are forfeited are added to the shares authorized for grant under the 2018 Plan.

During fiscal year 2019, we granted stock awards under the 2018 Plan in the form of stock options, restricted stock units and performance share units. Stock options generally vest after three to six years of continuous service from the date of grant and have a contractual term of 10 years. Once options become exercisable, the employee can purchase shares of our common stock at the market price on the date we granted the option. Restricted stock unit grants generally vest ratably over three to five years of continuous service from the date of grant. Each performance share unit represents the right to receive one share of our common stock based on our achievement of certain financial performance targets during applicable performance periods. We account for share-based compensation utilizing the fair value recognition pursuant to ASC 718, Stock Compensation.

As of December 31, 2019, there were 3.1 million shares available for future grants under the plan from the 22.9 million shares previously approved by the shareholders.

## Notes to Consolidated Financial Statements

### Determining Fair Value of Stock Compensation

**Valuation and Amortization Method.** We estimate the fair value of stock option awards granted using the Black-Scholes option valuation model. For restricted stock unit and performance stock unit awards, we amortize the fair value of all awards on a straight-line basis over the requisite service periods, which are generally the vesting periods.

**Expected Life.** The expected life of awards granted represents the period of time that they are expected to be outstanding. The expected life represents the weighted-average period the stock options are expected to be outstanding based primarily on the options' vesting terms, remaining contractual life and the employees' expected exercise based on historical patterns.

**Expected Volatility.** Using the Black-Scholes option valuation model, we estimate the volatility of our common stock at the date of grant based on the historical volatility of our common stock.

**Risk-Free Interest Rate.** We base the risk-free interest rate used in the Black-Scholes option valuation model on the implied yield currently available on U.S. Treasury zero-coupon issues with an equivalent remaining term equal to the expected life of the award.

**Expected Dividend Yield.** We have not paid any cash dividends on our common stock in more than ten years and we do not anticipate paying any cash dividends in the foreseeable future. Consequently, we use an expected dividend yield of zero in the Black-Scholes option valuation model.

**Expected Forfeitures.** We use historical data to estimate pre-vesting option forfeitures. We record share-based compensation only for those awards that are expected to vest.

The following weighted average assumptions were used for options granted:

Years Ended December 31,	2019	2018	2017
Expected life (in years)	6.0	6.0	6.0
Expected volatility	26.6%	26.7%	28.1%
Risk-free interest rate	1.8%	2.7%	2.0%
Expected forfeiture rate	—%	—%	—%

### Share-Based Award Activity

The following table summarizes restricted stock unit and performance stock unit activity during fiscal year 2019 (shares in thousands):

	Number of Shares	Weighted Average Grant Date Fair Value per Share
Unvested at January 1, 2018	—	\$ —
Granted	336	221.29
Vested	—	—
Forfeited	(2)	229.75
Unvested at December 31, 2018	334	221.25
Granted	256	241.19
Vested	(76)	221.15
Forfeited	(14)	229.75
Unvested at December 31, 2019	500	\$ 231.57

## Notes to Consolidated Financial Statements

Options granted, exercised, forfeited and expired are summarized as follows:

	Number of Shares	Weighted Average Exercise Price	Weighted Average Remaining Contractual Life (Years)	Aggregate Intrinsic Value
Outstanding at December 31, 2016	5,156	\$ 83.64		
Granted	824	176.26		
Exercised	(1,113)	44.80		
Forfeited	(50)	134.83		
Outstanding at December 31, 2017	4,817	107.91		
Granted	432	208.21		
Exercised	(1,126)	66.53		
Forfeited	(31)	158.80		
Outstanding at December 31, 2018	4,092	129.51		
Granted	162	251.58		
Exercised	(999)	96.92		
Forfeited	(29)	174.54		
Outstanding at December 31, 2019	3,226	\$145.27	6	\$ 499,124
Exercisable at December 31, 2019	2,067	\$121.07	6	\$ 369,938

We had unvested options to purchase 1.2 million shares with a weighted average grant date exercise price of \$188.48 as of December 31, 2019, and unvested options to purchase 1.7 million shares with a weighted average grant date exercise price of \$169.24 as of December 31, 2018.

Other information pertaining to option activity was as follows during the twelve months ended December 31:

	2019	2018	2017
Weighted average grant-date fair value of stock options granted	\$ 74.54	\$ 66.52	\$ 55.56
Total intrinsic value of stock options exercised	\$155,899	\$ 176,716	\$ 137,699

### Share-Based Compensation Expense

The following table summarizes share-based compensation expense related to share-based awards which is recorded in the consolidated statements of comprehensive income:

Years Ended December 31,	2019	2018	2017
Cost of software services, maintenance and subscriptions	\$ 15,002	\$ 13,588	\$ 9,415
Selling, general and administrative expenses	44,965	39,152	27,933
Total share-based compensation expenses	59,967	52,740	37,348
Excess tax benefit	(29,819)	(32,487)	(40,624)
Net decrease (increase) in net income	\$ 30,148	\$ 20,253	\$ (3,276)

As of December 31, 2019, we had \$148.7 million of total unrecognized compensation cost related to unvested options and restricted stock units, net of expected forfeitures, which is expected to be amortized over a weighted average amortization period of 2.5 years.

## Notes to Consolidated Financial Statements

### Employee Stock Purchase Plan

Under our Employee Stock Purchase Plan (“ESPP”) participants may contribute up to 15% of their annual compensation to purchase common shares of Tyler. The purchase price of the shares is equal to 85% of the closing price of Tyler shares on the last day of each quarterly offering period. As of December 31, 2019, there were 702,000 shares available for future issuances the ESPP from the 2.0 million shares previously approved by the shareholders.

### (10) EARNINGS PER SHARE

Basic earnings and diluted earnings per share data were computed as follows:

Years Ended December 31,	2019	2018	2017
Numerator for basic and diluted earnings per share:			
Net income	\$ 146,527	\$ 147,462	\$ 169,571
Denominator:			
Weighted-average basic common shares outstanding	38,640	38,445	37,273
Assumed conversion of dilutive securities:			
Stock options	1,465	1,678	1,973
Denominator for diluted earnings per share – Adjusted weighted-average shares	40,105	40,123	39,246
Earnings per common share:			
Basic	\$ 3.79	\$ 3.84	\$ 4.55
Diluted	\$ 3.65	\$ 3.68	\$ 4.32

Share-based awards representing the right to purchase common stock of 633,000 shares in 2019, 888,000 shares in 2018, and 1,343,000 shares in 2017 were not included in the computation of diluted earnings per share because their inclusion would have had an anti-dilutive effect.

## Notes to Consolidated Financial Statements

### (11) LEASES

We lease office facilities for use in our operations, as well as transportation and other equipment. Most of our leases are non-cancelable operating lease agreements and they expire in one year to eight years. Some of these leases include options to extend for up to 10 years. We had no finance leases and no related party lease agreements as of December 31, 2019. Operating lease costs were approximately \$9.9 million in 2019, \$7.4 million in 2018, and \$6.9 million in 2017.

The components of operating lease expense were as follows (in thousands):

Lease Costs	Financial Statement Classification	For the year ended 2019
Operating lease cost	Selling, general and administrative expenses	\$ 6,379
Short-term lease cost	Selling, general and administrative expenses	2,269
Variable lease cost	Selling, general and administrative expenses	1,274
Net lease cost		\$ 9,922

As of December 31, 2019, ROU lease assets and lease liabilities for our operating leases were recorded in the consolidated balance sheet as follows (in thousands):

	December 31, 2019
Assets:	
Operating lease right-of-use assets	\$ 18,992
Liabilities:	
Operating leases, short-term	6,387
Operating leases, long-term	16,822
Total lease liabilities	\$ 23,209

Supplemental information related to leases was as follows:

Other Information	For the year ended 2019
Cash Flows (in thousands):	
Cash paid amounts included in the measurement of lease liabilities:	
Operating cash outflows from operating leases	\$ 7,267
Right-of-use assets obtained in exchange for lease obligations (non-cash):	
Operating leases	\$ 3,466
Lease Term and Discount Rate:	
Weighted average remaining lease term (years)	4
Weighted average discount rate	4.00%

## Notes to Consolidated Financial Statements

As of December 31, 2019, maturities of lease liabilities were as follows (in thousands):

Years Ending December 31,	Amount
2020	\$ 7,684
2021	6,246
2022	3,960
2023	2,923
2024	2,478
Thereafter	2,042
Total lease payments	25,333
Less: Interest	(2,124)
Present value of operating lease liabilities	\$ 23,209

As of December 31, 2018, the future minimum lease commitments related to lease agreements under Topic 840, the predecessor of Topic 842, were as follows (in thousands):

Years Ending December 31,	Amount
2019	\$ 5,994
2020	5,146
2021	3,976
2022	1,925
2023	1,164
Thereafter	2,132
Total	\$ 20,337

### Rental Income from third parties

We own office buildings in Bangor, Falmouth and Yarmouth, Maine; Lubbock and Plano, Texas; Troy, Michigan; Latham, New York; and Moraine, Ohio. We lease space in some of these buildings to third-party tenants. The property we lease to others under operating leases consists primarily of specific facilities where one tenant obtains substantially all of the economic benefit from the asset and has the right to direct the use of the asset. These non-cancelable leases expire between 2020 and 2025, some of which have options to extend the lease for up to five years. We determine if an arrangement is a lease at inception. None of our leases allow the lessee to purchase the leased asset.

Rental income from third-party tenants was \$1.1 million in 2019, \$1.2 million in 2018, and \$1.5 million in 2017. Rental income is included in Hardware and other revenue on the consolidated statements of comprehensive income. Future minimum operating rental income based on contractual agreements is as follows (in thousands):

Years Ending December 31,	Amount
2020	\$ 1,341
2021	1,372
2022	1,402
2023	1,432
2024	1,462
Thereafter	857
Total	\$ 7,866

As of December 31, 2019, we had no additional significant operating or finance leases that had not yet commenced.

## Notes to Consolidated Financial Statements

### (12) EMPLOYEE BENEFIT PLANS

We provide a defined contribution plan for the majority of our employees meeting minimum service requirements. Eligible employees can contribute up to 30% of their current compensation to the plan subject to certain statutory limitations. We contribute up to a maximum of 3% of an employee's compensation to the plan. We made contributions to the plan and charged operating results \$11.5 million in 2019, \$9.3 million in 2018, and \$7.9 million in 2017.

### (13) COMMITMENTS AND CONTINGENCIES

Other than routine litigation incidental to our business, there are no material legal proceedings pending to which we are party or to which any of our properties are subject.

### (14) SEGMENT AND RELATED INFORMATION

We provide integrated information management solutions and services for the public sector, with a focus on local governments.

We provide our software systems and services and appraisal services through six business units, which focus on the following products:

- financial management, education and planning, regulatory and maintenance software solutions;
- financial management, municipal courts, planning, regulatory and maintenance, and land and vital records management software solutions;
- courts and justice and public safety software solutions;
- data and insights solutions;
- case management and business management solutions; and
- appraisal and tax software solutions and property appraisal services.

In accordance with ASC 280-10, *Segment Reporting*, the financial management, education and planning, regulatory and maintenance software solutions unit; financial management, municipal courts, planning, regulatory and maintenance, and land and vital records management software solutions unit; courts and justice and public safety software solutions unit; the data and insights solutions unit; and case management and business management solutions unit meet the criteria for aggregation and are presented in one reportable segment, Enterprise Software ("ES"). The ES segment provides public sector entities with software systems and services to meet their information technology and automation needs for mission-critical "back-office" functions such as: financial management and education, courts and justice, public safety, planning, regulatory and maintenance, land and vital records management, data and insights and case management and business management processes. The Appraisal and Tax ("A&T") segment provides systems and software that automate the appraisal and assessment of real and personal property as well as property appraisal outsourcing services for local governments and taxing authorities. Property appraisal outsourcing services include: the physical inspection of commercial and residential properties; data collection and processing; computer analysis for property valuation; preparation of tax rolls; community education; and arbitration between taxpayers and the assessing jurisdiction.

We evaluate performance based on several factors, of which the primary financial measure is business segment operating income. We define segment operating income for our business units as income before noncash amortization of intangible assets associated with their acquisition, interest expense and income taxes. Segment operating income includes intercompany transactions. The majority of intercompany transactions relate to contracts involving more than one unit and are valued based on the contractual arrangement. Segment operating income for corporate primarily consists of compensation costs for the executive management team and certain accounting and administrative staff and share-based compensation expense for the entire company. Corporate segment operating income also includes revenues and expenses related to a company-wide user conference. The accounting policies of the reportable segments are the same as those described in Note 1, "Summary of Significant Accounting Policies."

Segment assets include net accounts receivable, prepaid expenses and other current assets and net property and equipment. Corporate assets consist of cash and investments, prepaid insurance, intangibles associated with acquisitions, capitalized software development costs, deferred income taxes and net property and equipment mainly related to unallocated information and technology assets.

ES segment capital expenditures included \$12.6 million in 2019 and \$2.2 million in 2018 for the expansion of existing buildings and purchases of buildings and land. A&T segment capital expenditures included \$8.2 million in 2019 for the expansion of existing buildings.

## Notes to Consolidated Financial Statements

For the year ended December 31, 2019	Enterprise Software	Appraisal and Tax	Corporate	Totals
Revenues				
Software licenses and royalties	\$ 92,567	\$ 7,638	\$ —	\$ 100,205
Subscriptions	285,092	11,260	—	296,352
Software services	185,892	27,169	—	213,061
Maintenance	405,063	25,255	—	430,318
Appraisal services	—	23,479	—	23,479
Hardware and other	16,735	21	6,256	23,012
Intercompany	15,496	—	(15,496)	—
Total revenues	\$ 1,000,845	\$ 94,822	\$ (9,240)	\$ 1,086,427
Depreciation and amortization expense	64,289	926	11,457	76,672
Segment operating income	261,494	20,789	(73,829)	208,454
Capital expenditures	19,335	8,384	10,379	38,098
Segment assets	\$ 834,010	\$ 90,536	\$ 1,267,068	\$ 2,191,614
For the year ended December 31, 2018	Enterprise Software	Appraisal and Tax	Corporate	Totals
Revenues				
Software licenses and royalties	\$ 83,735	\$ 9,706	\$ —	\$ 93,441
Subscriptions	210,740	9,807	—	220,547
Software services	166,921	24,348	—	191,269
Maintenance	359,904	24,617	—	384,521
Appraisal services	—	21,846	—	21,846
Hardware and other	18,745	32	4,881	23,658
Intercompany	13,155	—	(13,155)	—
Total revenues	\$ 853,200	\$ 90,356	\$ (8,274)	\$ 935,282
Depreciation and amortization expense	50,130	914	10,715	61,759
Segment operating income	237,159	23,094	(68,572)	191,681
Capital expenditures	13,973	782	10,377	25,132
Segment assets	\$ 556,100	\$ 63,670	\$ 1,171,193	\$ 1,790,963
For the year ended December 31, 2017	Enterprise Software	Appraisal and Tax	Corporate	Totals
Revenues				
Software licenses and royalties	\$ 78,388	\$ 7,854	\$ —	\$ 86,242
Subscriptions	614,317	7,859	—	172,176
Software services	161,245	19,215	—	180,460
Maintenance	337,701	21,618	—	359,319
Appraisal services	—	25,023	—	25,023
Hardware and other	13,057	10	4,612	17,679
Intercompany	10,425	—	(10,425)	—
Total revenues	\$ 765,133	\$ 81,579	\$ (5,813)	\$ 840,899
Depreciation and amortization expense	43,987	760	8,648	53,359
Segment operating income	229,001	20,788	(51,964)	197,825
Capital expenditures	28,096	1,181	16,341	45,618
Segment assets	\$ 365,736	\$ 46,279	\$ 1,199,336	\$ 1,611,351

## Notes to Consolidated Financial Statements

Reconciliation of reportable segment operating income to the Company's consolidated totals:	Years Ended December 31,		
	2019	2018	2017
Total segment operating income	\$ 208,454	\$ 191,681	\$ 197,825
Amortization of acquired software	(30,642)	(22,972)	(21,686)
Amortization of customer and trade name intangibles	(21,445)	(16,217)	(13,381)
Other income (expense), net	3,471	3,378	698
Income before income taxes	\$ 159,838	\$ 155,870	\$ 163,456

### (15) DISAGGREGATION OF REVENUE

The tables below show disaggregation of revenue into categories that reflect how economic factors affect the nature, amount, timing, and uncertainty of revenue and cash flows.

#### Timing of Revenue Recognition

Timing of revenue recognition by revenue category during the period is as follows:

For the year ended December 31, 2019	Products and Services Transferred at a Point in Time	Products and Services Transferred Over Time	Total
Revenues			
Software licenses and royalties	\$ 84,900	\$ 15,305	\$ 100,205
Subscriptions	—	296,352	296,352
Software services	—	213,061	213,061
Maintenance	—	430,318	430,318
Appraisal services	—	23,479	23,479
Hardware and other	23,012	—	23,012
Total	\$ 107,912	\$ 978,515	\$ 1,086,427

For the year ended December 31, 2018	Products and Services Transferred at a Point in Time	Products and Services Transferred Over Time	Total
Revenues			
Software licenses and royalties	\$ 75,188	\$ 18,253	\$ 93,441
Subscriptions	—	220,547	220,547
Software services	—	191,269	191,269
Maintenance	—	384,521	384,521
Appraisal services	—	21,846	21,846
Hardware and other	23,658	—	23,658
Total	\$ 98,846	\$ 836,436	\$ 935,282

## Notes to Consolidated Financial Statements

For the year ended December 31, 2017	Products and Services Transferred at a Point in Time	Products and Services Transferred Over Time	Total
Revenues			
Software licenses and royalties	\$ 69,167	\$ 17,075	\$ 86,242
Subscriptions	—	172,176	172,176
Software services	—	180,460	180,460
Maintenance	—	359,319	359,319
Appraisal services	—	25,023	25,023
Hardware and other	17,679	—	17,679
<b>Total</b>	<b>\$ 86,846</b>	<b>\$ 754,053</b>	<b>\$ 840,899</b>

### Recurring Revenue

The majority of our revenue is comprised of recurring revenues from maintenance and subscriptions. Virtually all of our on-premises software clients contract with us for maintenance and support, which provides us with a significant source of recurring revenue. We generally provide maintenance and support for our on-premises clients under annual, or in some cases, multi-year contracts. The contract terms for subscription arrangements range from one to 10 years but are typically contracted for initial periods of three to five years. Non-recurring revenues are derived from all other revenue categories.

Recurring revenues and non-recurring revenues recognized during the period are as follows:

For the year ended December 31, 2019	Enterprise Software	Appraisal and Tax	Corporate	Totals
Recurring revenues	\$ 690,156	\$ 36,514	\$ —	\$ 726,670
Non-recurring revenues	295,193	58,308	6,256	359,757
Intercompany	15,496	—	(15,496)	—
<b>Total revenues</b>	<b>\$ 1,000,845</b>	<b>\$ 94,822</b>	<b>\$ (9,240)</b>	<b>\$ 1,086,427</b>

For the year ended December 31, 2018	Enterprise Software	Appraisal and Tax	Corporate	Totals
Recurring revenues	\$ 570,645	\$ 34,424	\$ —	\$ 605,069
Non-recurring revenues	269,400	55,932	4,881	330,213
Intercompany	13,155	—	(13,155)	—
<b>Total revenues</b>	<b>\$ 853,200</b>	<b>\$ 90,356</b>	<b>\$ (8,274)</b>	<b>\$ 935,282</b>

For the year ended December 31, 2017	Enterprise Software	Appraisal and Tax	Corporate	Totals
Recurring revenues	\$ 502,018	\$ 29,477	\$ —	\$ 531,495
Non-recurring revenues	252,690	52,102	4,612	309,404
Intercompany	10,425	—	(10,425)	—
<b>Total revenues</b>	<b>\$ 756,133</b>	<b>\$ 81,579</b>	<b>\$ (5,813)</b>	<b>\$ 840,899</b>

## Notes to Consolidated Financial Statements

### (16) DEFERRED REVENUE AND PERFORMANCE OBLIGATIONS

Total deferred revenue, including long-term, by segment is as follows:

December 31,	2019	2018
Enterprise software	\$ 386,115	\$ 327,521
Appraisal and tax	25,210	20,018
Corporate	1,369	3,397
Totals	\$ 412,694	\$ 350,936

Changes in total deferred revenue, including long-term, were as follows:

	2019
Balance at beginning of year	\$ 350,936
Deferral of revenue	993,109
Recognition of deferred revenue	(931,351)
Balance at end of year	\$ 412,694

### Transaction Price Allocated to the Remaining Performance Obligations

The aggregate amount of transaction price allocated to the remaining performance obligations represents contracted revenue that has not yet been recognized (“Backlog”), which includes deferred revenue and amounts that will be invoiced and recognized as revenue in future periods. Backlog as of December 31, 2019 was \$1.46 billion, of which we expect to recognize approximately 49% as revenue over the next 12 months and the remainder thereafter.

### (17) DEFERRED COMMISSIONS

Sales commissions earned by our sales force are considered incremental and recoverable costs of obtaining a contract with a customer. Sales commissions for initial contracts are deferred and then amortized commensurate with the recognition of associated revenue over a period of benefit that we have determined to be three to seven years. Deferred commissions were \$29.8 million, \$21.9 million, as of December 31, 2019, and 2018 respectively. Amortization expense was \$17.8 million \$15.6 million, \$11.2 million for the twelve months ended December 31, 2019, 2018, and 2017, respectively. There were no indicators of impairment in relation to the costs capitalized for the periods presented. Deferred commissions have been included with prepaid expenses in the accompanying consolidated balance sheets. Amortization expense related to deferred commissions is included in selling, general and administrative expenses in the accompanying consolidated statements of comprehensive income.

### (18) SUBSEQUENT EVENTS

There are no material events or transactions that have occurred subsequent to December 31, 2019.

## Notes to Consolidated Financial Statements

### (19) QUARTERLY FINANCIAL INFORMATION (UNAUDITED)

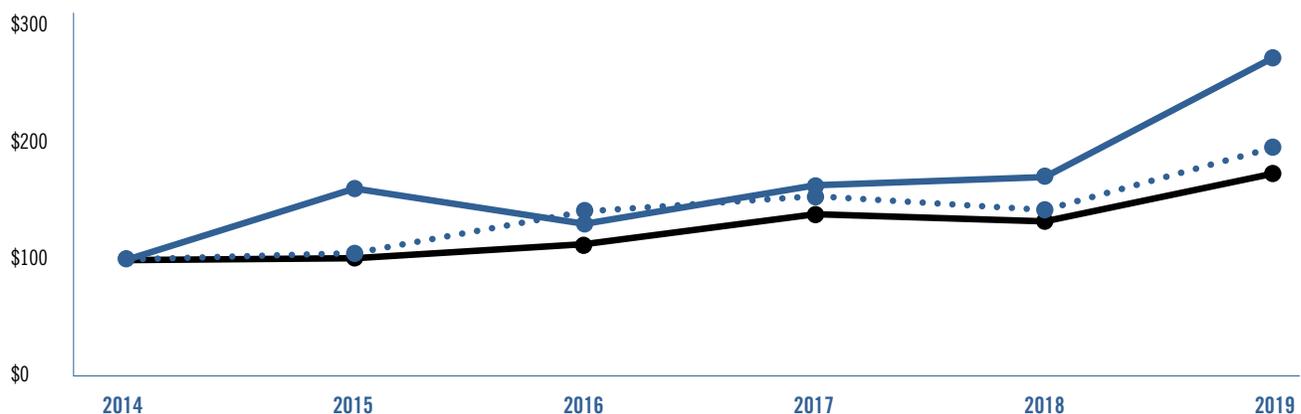
The following table contains selected financial information from unaudited statements of income for each quarter of 2019 and 2018:

	Quarters Ended							
	2019				2018			
	Dec. 31	Sept. 30	June 30	Mar. 31	Dec. 31	Sept. 30	June 30	Mar. 31
Revenues	\$ 288,837	\$ 275,400	\$ 275,124	\$ 247,066	\$ 241,981	\$ 236,067	\$ 236,060	\$ 221,174
Gross profit	142,275	130,717	127,860	116,048	115,871	111,626	109,276	102,805
Income before income taxes	47,790	40,552	36,419	35,077	40,107	38,626	37,700	39,437
Net income	46,790	40,390	31,999	27,348	31,552	38,924	39,161	37,825
Earnings per diluted share	\$ 1.15	\$ 1.00	\$ 0.80	\$ 0.69	\$ 0.79	\$ 0.96	\$ 0.97	\$ 0.95
Shares used in computing diluted earnings per share	40,736	40,280	39,813	39,585	39,891	40,528	40,224	39,836

## Performance Graph

The following table compares total shareholder returns for Tyler over the last five years to the Standard and Poor's 500 Stock Index and the Standard and Poor's 600 Information Technology Index assuming a \$100 investment made on December 31, 2014. Each of the three measures of cumulative total return assumes reinvestment of dividends. The stock performance shown on the graph below is not necessarily indicative of future price performance.

### COMPARISON OF CUMULATIVE FIVE YEAR TOTAL RETURN



—●—	100	159.28	130.46	161.78	169.79	274.14
—●—	100	101.38	113.51	138.29	132.23	173.86
····●···	100	104.65	140.08	154.48	140.68	196.38

- Tyler Technologies, Inc.
- S&P 500 Stock Index
- S&P 600 Information Technology Index

## CORPORATE OFFICERS

### H. Lynn Moore Jr.

President and  
Chief Executive Officer

### Brian K. Miller

Executive Vice President  
Chief Financial Officer  
and Treasurer

### Matthew B. Bieri

Chief Information Officer

### S. Brett Cate

Chief Sales Officer

### Samantha B. Crosby

Chief Marketing Officer

### Abigail M. Diaz

Chief Legal Officer and Secretary

### Bruce E. Graham

Senior Strategy Advisor

### Jason P. Durham

Corporate Controller

### Jeffrey S. Green

Chief Technology Officer

### Jeffrey D. Puckett

Chief Strategy Officer

### Kelley B. Shimansky

Chief Human Resources Officer

### W. Michael Smith

Chief Accounting Officer

## BOARD OF DIRECTORS

### John S. Marr Jr.<sup>1</sup>

Executive Chairman of the Board  
Tyler Technologies, Inc.

### H. Lynn Moore Jr.<sup>1</sup>

President and  
Chief Executive Officer  
Tyler Technologies, Inc.

### Donald R. Brattain<sup>2,4</sup>

President  
Brattain and Associates, LLC

### Glenn A. Carter<sup>3,4</sup>

Retired Chief Executive Officer  
DataProse, Inc.

### Brenda A. Cline<sup>2,3</sup>

Executive Vice President  
Kimbell Art Foundation

### J. Luther King Jr.<sup>2,4</sup>

Chief Executive Officer  
Luther King Capital Management

### Daniel M. Pope<sup>3</sup>

Mayor  
City of Lubbock, Texas

### Dustin R. Womble

Retired Executive Vice President  
Tyler Technologies, Inc.

<sup>1</sup> Executive Committee

<sup>2</sup> Audit Committee

<sup>3</sup> Nominating and Governance Committee

<sup>4</sup> Compensation Committee

## OPERATIONAL LEADERSHIP

### S. Franklin Williams III

President  
Data & Insights Division

## Enterprise Group

### Christopher P. Hepburn

President  
Enterprise Group

### Mark A. Hawkins

President  
Appraisal & Tax Division

### Christopher J. Webster

President  
ERP Division

### Dane L. Womble

President  
Local Government Division

### Kristoffer L. Collo

President  
Federal Division

## Justice Group

### D. Bret Dixon

President  
Justice Group

### Russell J. Smith

President  
Courts & Justice Division

### Bryan K. Proctor

President  
Public Safety Division

## CORPORATE HEADQUARTERS

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Plano, Texas 75024  
972.713.3700  
tylertech.com

## TRANSFER AGENT AND REGISTRAR

American Stock Transfer & Trust  
Company  
6201 15th Avenue  
Brooklyn, New York 11219  
800.937.5449  
help@astfinancial.com  
amstock.com

## INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

Ernst & Young LLP  
Dallas, Texas

## ANNUAL MEETING OF SHAREHOLDERS

Tuesday, May 12, 2020  
9:00 a.m. Central Time  
Renaissance Dallas at  
Plano Legacy West  
607 Legacy Drive  
Plano, Texas 75024

## CERTIFICATIONS

We submitted an unqualified  
Annual CEO Certification to  
the New York Stock Exchange  
(NYSE) as required by the NYSE  
Listed Company rules. We also  
filed with the Securities and  
Exchange Commission the  
Chief Executive Officer and  
Chief Financial Officer  
certifications required under  
Section 302 of the Sarbanes-  
Oxley Act as exhibits to our  
Annual Report on Form 10-K.

## INVESTOR INFORMATION

Our annual report on Form 10-K  
is available on the company's  
website at [www.tylertech.com](http://www.tylertech.com).  
A copy of the Form 10-K or  
other information may also be  
obtained by contacting the  
Investor Relations Department  
at corporate headquarters.

## INVESTOR RELATIONS

972.713.3714  
info@tylertech.com

## COMMON STOCK

Listed on the New York  
Stock Exchange under  
the symbol "TYL"

**TYL**  
**LISTED**  
**NYSE**



**Empowering people who serve the public®**

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