

CONTRACT #11
RFS # 347.01-11054
FA # NA
Edison # NA

Department of Revenue

VENDOR:
Xerox State & Local Solutions,
Inc.



BILL HASLAM
Governor

STATE OF TENNESSEE
DEPARTMENT OF REVENUE
ANDREW JACKSON STATE OFFICE BUILDING
NASHVILLE, TENNESSEE 37242

RICHARD H. ROBERTS
Commissioner

September 18, 2013

The Honorable Bill Ketron, State Senator
Chair, Joint Fiscal Review Contract Service Subcommittee
309 War Memorial Building
Nashville, Tennessee 37243-0213

Re: Proposed Non-Competitive Contract
Xerox State & Local Solutions, Inc.

Dear Senator Ketron:

The subject proposed contract between the Tennessee Department of Revenue and Xerox State & Local Solutions, Inc. is enclosed herewith for review of the Subcommittee.

The vendor provides a full service integrated turnkey system that allows the capability to electronically process applications, tax returns and remittance, calculate and balance fees/taxes, issue credentials and notices, disburse funds, provide receipting and an audit module for commercial vehicle fleet operations.

This contract requires a uniquely qualified service provider to perform processing services for motor vehicle commercial licensing and tax administration. This will include processing services involving the International Registration Plan (IRP), the International Fuel Tax Agreement (IFTA) and Intrastate Authority (IA). Xerox is currently the only vendor that provides this service with the ability to use a Common Account across tax types.

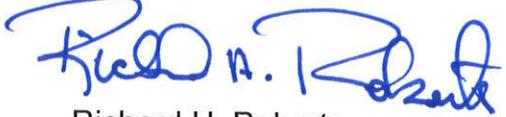
The current services are provided daily to maintain compliance with the International Registration Plan (IRP) and International Fuel Tax Association (IFTA). There are ongoing projects related to legislation regarding the electronic filing mandate that will not be completed by the end of the current contract. All customers are currently in the process of converting from paper to electronic filing and using an electronic payment method. A disruption of the vendor's services will cause considerable problems in meeting project objectives.

Prolonged negotiation with the vendor concerning cost resulted in a five percent (5%) savings through rate reductions or \$146,265 compared to the contract ending 10/31/13.

Honorable Bill Ketron, State Senator
September 18, 2013
Page 2

Your approval of this request will be greatly appreciated.

Sincerely,

A handwritten signature in blue ink, appearing to read "Richard H. Roberts". The signature is stylized with a large initial "R" and a long horizontal stroke.

Richard H. Roberts

RR:JAL



BILL HASLAM
Governor

STATE OF TENNESSEE
DEPARTMENT OF REVENUE
ANDREW JACKSON STATE OFFICE BUILDING
NASHVILLE, TENNESSEE 37242

RICHARD H. ROBERTS
Commissioner

September 18, 2013

The Honorable Bill Ketron, State Senator
Chair, Joint Fiscal Review Contract Service Subcommittee
309 War Memorial Building
Nashville, Tennessee 37243-0213

Re: Explanation – Request for Approval Less than Sixty (60) Days Before Effective Date
– Xerox State and Local Solutions, Inc.

Dear Senator Ketron:

Xerox State and Local Solutions, Inc. provides a full service integrated turnkey system that allows the capability to electronically process applications, tax returns and remittance, calculate and balance fees/taxes, issue credentials and notices, disburse funds, provide receipting and an audit module for commercial vehicle fleet operations.

Prolonged negotiation with the vendor concerning cost was the primary reason for the delay of request to Fiscal Review. DOR was able to achieve a five percent (5%) savings through rate reductions or \$146,265 compared to the contract ending 10/31/13.

The Department of Revenue requests approval of the contract needed to obtain processing services for commercial licensing and tax administration.

Your approval of this request will be greatly appreciated.

Sincerely,

A handwritten signature in blue ink that reads "Richard H. Roberts".

Richard H. Roberts

RR:JAL

Supplemental Documentation Required for
Fiscal Review Committee

*Contact Name:	John Lamar	*Contact Phone:	(615) 253-1381		
*Original Contract Number:	N.A. (New)	*Original RFS Number:	34701-11054		
Edison Contract Number: <i>(if applicable)</i>	N.A. (New)	Edison RFS Number: <i>(if applicable)</i>	N.A.		
*Original Contract Begin Date:	11/1/2013	*Current End Date:	10/31/18		
Current Request Amendment Number: <i>(if applicable)</i>	N.A.				
Proposed Amendment Effective Date: <i>(if applicable)</i>	N.A.				
*Department Submitting:	Revenue				
*Division:	Vehicle Services				
*Date Submitted:	9/19/13				
*Submitted Within Sixty (60) days:	No Discussed a possible late submission with staff on 8/29/13				
<i>If not, explain:</i>	Prolonged negotiations resulting in a five percent rate reduction				
*Contract Vendor Name:	Xerox State & Local Solutions, Inc				
*Current Maximum Liability:	\$2,779,065.00				
*Current Contract Allocation by Fiscal Year: <i>(as Shown on Most Current Fully Executed Contract Summary Sheet)</i>					
FY: 2014	FY:2015	FY: 2016	FY:2017	FY:2018	FY:2019
\$370,542	\$555,813	\$555,813	\$555,813	\$555,813	185,271
*Current Total Expenditures by Fiscal Year of Contract: <i>(attach backup documentation from STARS or FDAS report)</i>					
FY:	FY:	FY:	FY:	FY	FY
\$0	\$	\$	\$	\$	\$
IF Contract Allocation has been greater than Contract Expenditures, please give the reasons and explain where surplus funds were spent:			N.A.		
IF surplus funds have been carried forward, please give the reasons and provide the authority for the carry forward provision:			N.A.		
IF Contract Expenditures exceeded Contract Allocation, please give the reasons and explain how funding was acquired to pay the overage:			N.A.		

Supplemental Documentation Required for
Fiscal Review Committee

*Contract Funding Source/Amount:	State:	\$2,779,065	Federal:	
Interdepartmental:			Other:	
If "other" please define:				
Dates of All Previous Amendments or Revisions: <i>(if applicable)</i>			Brief Description of Actions in Previous Amendments or Revisions: <i>(if applicable)</i>	
N.A.			N.A.	
Method of Original Award: <i>(if applicable)</i>			Non-Competitive Negotiation	
*What were the projected costs of the service for the entire term of the contract prior to contract award?			None	

Supplemental Documentation Required for
Fiscal Review Committee

For all new non-competitive contracts and any contract amendment that changes Sections A or C.3. of the original or previously amended contract document, provide estimates based on information provided the Department by the vendor for determination of contract maximum liability. Add rows as necessary to provide all information requested.

If it is determined that the question is not applicable to your contract document attach detailed explanation as to why that determination was made.

Planned expenditures by fiscal year by deliverable. Add rows as necessary to indicate all estimated contract expenditures.

Deliverable description:	FY:	FY:	FY:	FY:	FY:
See Attachment One					

Proposed savings to be realized per fiscal year by entering into this contract. If amendment to an existing contract, please indicate the proposed savings to be realized by the amendment. Add rows as necessary to define all potential savings per deliverable.

Deliverable description:	FY:	FY:	FY:	FY:	FY:
See Attachment Two					

Comparison of cost per fiscal year of obtaining this service through the proposed contract or amendment vs. other options. List other options available (including other vendors), cost of other options, and source of information for comparison of other options (e.g. catalog, Web site). Add rows as necessary to indicate price differentials between contract deliverables.

Proposed Vendor Cost: (name of vendor)	FY:	FY:	FY:	FY:	FY:
See Attachment Two					
Other Vendor Cost: (name of vendor)	FY:	FY:	FY:	FY:	FY:
Other Vendor Cost: (name of vendor)	FY:	FY:	FY:	FY:	FY:

Supplemental Documentation Required for
Fiscal Review Committee

ATTACHMENT ONE

Planned expenditures by fiscal year by deliverable.

Service Description	Amount (per compensable increment)
International Registration Plan (IRP) System incorporating PRISM and IRP Clearinghouse	Year 1 - \$317,479.00 Year 2 - \$317,479.00 Year 3 - \$317,479.00 Year 4 - \$317,479.00 Year 5 - \$317,479.00
International Fuel Tax Agreement (IFTA) Registration, Access, and Tax Return Processing System incorporating the IFTA Clearinghouse, and Intrastate	Year 1 - \$222,546.00 Year 2 - \$222,546.00 Year 3 - \$222,546.00 Year 4 - \$222,546.00 Year 5 - \$222,546.00
Network Line	\$10,029.00 annually
Systems Modifications	\$96.00/hr for a maximum liability of \$28,800
Total	\$2,779,065.00

Supplemental Documentation Required for
Fiscal Review Committee

ATTACHMENT TWO

Proposed savings to be realized per fiscal year by entering into this contract. If amendment to an existing contract, please indicate the proposed savings to be realized by the amendment.

Comparison of cost per fiscal year of obtaining this service through the proposed contract or amendment vs. other options. List other options available (including other vendors), cost of other options, and source of information for comparison of other options (e.g. catalog, Web site).

Response

The Motor Carrier Section has been provided services by Xerox since 1994. The Department of Revenue (TDOR) believes it is in the best interest of the Taxpayers, TDOR and the State to keep the current vendor due to the following:

- 1) No other vendor offers the ability to use a common account number across tax types. This allows employees to use one account number to identify both IFTA and IRP.
- 2) Vendor is currently in the process of converting both IRP and IFTA accounts to electronic filing and IRP accounts to electronic payment capability. Time, resources and money have already been invested to acquire these services and convert 5,004 IFTA customers and 6,806 IRP customers. Contracting with another vendor would be costly and the time required to ensure a successful data conversion, inform all customers of current service interruption and train employees on new procedures while implementing a new system would be a strain on all employees due to current work backlog.
- 3) The current system calculates fees per vehicle registered and for each state within which the vehicle operates. Taxes are calculated for each fleet based on fuel tax used per jurisdictions. Fees/taxes are balanced and disbursed monthly for IFTA and IRP utilizing the Clearinghouse, which is used to facilitate the electronic exchange and reconciliation of registration information and fees among jurisdictions. The system also balances Tennessee Intrastate Authority fees for monthly collection reporting. The IRP and IFTA consist of state and Canadian provinces. There are currently 59 IRP jurisdictions and 58 IFTA jurisdictions.
- 4) Contract price was determined through negotiations. DOR was able to achieve a five percent (5%) savings through rate reductions or \$146,265 compared to the contract ending 10/31/13.

Special Contract Request

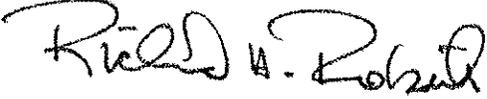
NOT required for a contract with a federal, Tennessee, or Tennessee local government entity or a grant.
Route a completed request, as one file in PDF format, via e-mail attachment sent to: agsprs.agsprs@tn.gov.

Submitted
9/19/13

APPROVED
Chief Procurement Officer

Request Tracking #	34701-11054
1. Contracting Agency-Revenue	Department of Revenue
2. Type of Contract-Non Competitive	<input checked="" type="checkbox"/> Non-Competitive <input type="checkbox"/> No Cost <input type="checkbox"/> Revenue
3. Requestor Contact Information-	John Lamar, (615) 253-1381, john.lamar@tn.gov
4. Date Requested	9/18/13
5. Brief Service Caption	Processing services for commercial licensing and tax administration
6. Proposed Contractor	Xerox State & Local Solutions, Inc.
7. Proposed Contract Period - with ALL options to extend exercised The proposed contract start date shall follow the approval date of this request.	60 months
8. Maximum Contract Cost - with ALL options to extend exercised	\$ 2,779,065.00
9. Office for Information Resources Endorsement - information technology (N/A to THDA)	<input type="checkbox"/> Not Applicable <input checked="" type="checkbox"/> Attached
10. eHealth Initiative Support - health-related professional, pharmaceutical, laboratory, or imaging	<input checked="" type="checkbox"/> Not Applicable <input type="checkbox"/> Attached
11. Human Resources Support - state employee training	<input checked="" type="checkbox"/> Not Applicable <input type="checkbox"/> Attached
12. Has the contracting agency procured the subject service before? <input type="checkbox"/> NO <input checked="" type="checkbox"/> YES, it was procured by... <input type="checkbox"/> RFP <input checked="" type="checkbox"/> Non-Competitive Negotiation <input type="checkbox"/> Another Competitive Method	
13. Will the State incur any substantial cost as a result of the subject agreement? (For No Cost or Revenue Contracts only)	<input type="checkbox"/> NO <input type="checkbox"/> YES <input checked="" type="checkbox"/> Not Applicable
14. Will the State also contract with other parties interested in entering substantially the same agreement?	<input checked="" type="checkbox"/> NO <input type="checkbox"/> YES

Request Tracking #	34701-11054
<p>15. Description of Product/Services Contractor Will Provide – A full service integrated turnkey system that provides the capability to electronically process applications, tax returns and remittance, calculate and balance fees/taxes, issue credentials and notices, disburse funds, provide receipting and an audit module for commercial vehicle fleet operations.</p>	
<p>16. Is this product/service currently available on a statewide contract? <input checked="" type="checkbox"/> NO <input type="checkbox"/> YES</p> <p>If YES, please explain why the current statewide contract is not being used for this procurement.</p>	
<p>17. Summary of State Responsibilities Under Proposed Contract (For No Cost and Revenue Contracts <u>only</u>)</p> <p>Not applicable.</p>	
<p>18. Explanation of Need for or Requirement Placed on the State to Acquire the Service- To provide processing services for commercial licensing and tax administration including IRP, IFTA and Intrastate Authority.</p>	
<p>19. Proposed Contract Impact on Current State Operations- The current services are provided daily to maintain compliance with the International Registration Plan (IRP) and the Fuel Tax Agreement (IFTA). There are ongoing projects related to electronic filing and an electronic payment method. All customers are currently in the process of converting from paper to electronic filing and using an electronic payment method. If the current contract is not renewed, there is a possibility that a new contract will not be in place November 1, 2013, due to an insufficient amount of time required for a RFP and Tennessee would be found to be out of compliance with the Plan and the Agreement. Being out of compliance could result in loss of voting privileges, member jurisdictions suspend distribution of apportionable fees to Tennessee and in the most severe case, a resolution for expulsion from the Agreement.</p>	
<p>20. Justification – Specifically explain why the procurement method being requested is required.</p> <ol style="list-style-type: none"> 1) System Complexity- The current commercial vehicle fleet licensing, fuel tax reporting, audit processing and intrastate authority system provided by Xerox is a complex system that calculates fees per vehicle registered and for each state within which the vehicle operates. Taxes are calculated for each fleet based on fuel tax used per jurisdictions. Fees/taxes are balanced and disbursed monthly for IFTA and IRP utilizing the Clearinghouse, which is used to facilitate the electronic exchange and reconciliation of registration information and fees among jurisdictions. The system also balances Tennessee Intrastate Authority fees for monthly collection reporting. (The IRP and IFTA consist of state and Canadian provinces. The extent of testing would be difficult to estimate due to the large amount of jurisdictions. There are currently 59 IRP jurisdictions and 58 IFTA jurisdictions. 2) Data Conversion- Data conversion cost would be immense with another vendor and the importance of all data converting correctly is imperative for a successful system implementation. The extent of testing necessary for a new system and data conversion cannot be determined due to the large amount of jurisdictions utilizing various tax rates. 3) Employee Training- Employee training would be extensive for implementation of a new system. Costs would be significant to ensure employees have the necessary skills to complete all current daily tasks performed with little to no decline in work performance and that there is no delay in system implementation. 4) Added Costs to Registrants- Registrants who use the current Xerox system to electronically file tax returns would have to make adjustments to existing personal computer settings and software. Connectivity would need to be established to the new system. New account numbers would be assigned. Instructions, training and additional technical support would need to be provided by the vendor to each registrant. Documentation from both the State and the vendor would need to be provided to all registrants. This will be a costly time consuming process for employees preparing for an increase in phone calls and training with questions and concerns from registrants. 5) Xerox system ability to provide Common Account Registration- The current vendor, Xerox provides the ability to inquire/update account information with IRP and IFTA using a common account. When a new account is established, Xerox issues one common account number for all tax types. No other vendor offers this ability. 6) Electronic Filing Implementation- Xerox is currently in the process of converting both IFTA and 	

Request Tracking #	34701-11054
<p>IRP accounts from paper to electronic filing ability and electronic payment options. Considerable time, research and money have already been invested in this ongoing project.</p> <p>7) Potential Non-Compliance Issues- The necessity of the IRP and the IFTA functions being operational in an efficient and timely manner does not only affect Tennessee. There are international agreements that need to be timely and adequately maintained as to not adversely affect the financial conditions of multiple US states and Canadian provinces.</p> <p>8) Xerox Customer Service- Xerox is responsive to changes and all requests. The staff is efficient, courteous, professional and dedicated to our cause.</p>	
<p>21. Contractor Selection Process and Efforts to Identify Reasonable, Competitive, Procurement Alternatives- Xerox is currently the only vendor that provides this service with the ability to use a Common Account across tax types.</p>	
<p>22. Name & Address of the Contractor's Principal Owner(s) Xerox State & Local Solutions, Inc. 101 North 1st Ave., Suite 2250 Phoenix AZ 85003- <i>NOT required for a TN state education institution</i></p>	
<p>23. Evidence of Contractor's Experience & Length Of Experience Providing the Service- Xerox (formerly ACS) has provided services to TN since 1994. Xerox former contract timeframe: January 1, 2000 - December 31 2004, January 1, 2005 - June 30, 2005, March 1, 2007 - October 31, 2007, November 1, 2007 - October 31, 2013.</p>	
<p>24. Was there an initial government estimate?</p>	<p><input type="checkbox"/> NO <input checked="" type="checkbox"/> YES</p>
<p>25. Cost Determination Used- How did agency arrive at the price? Total cost was determined by adding yearly system processing and maintenance amounts for both IFTA and IRP with additional costs for equipment and ongoing projects that will not be completed under the current contract.</p>	
<p>26. Documentation of Discussions with Contractor- How did agency document discussions with Contractor? Through a series of phone calls and emails.</p>	
<p>27. Explanation of Fair and Reasonable Price- Explain why price is fair and reasonable under the circumstances. Prolonged negotiation with the vendor concerning cost resulted in a five percent (5%) savings through rate reductions or \$146,265 compared to the contract ending 10/31/13.</p>	
<p>Agency Head Signature and Date - <i>MUST be signed by the ACTUAL agency head as detailed on the current Signature Certification. Signature by an authorized signatory is acceptable only in documented exigent circumstances</i></p> <p> September 18, 2013</p>	



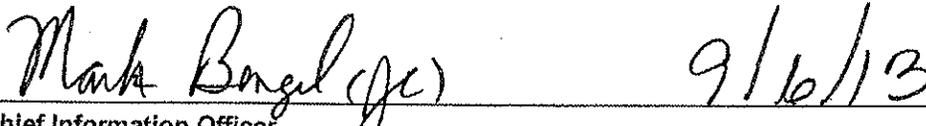
OIR Pre-Approval Endorsement Request E-Mail Transmittal

TO : Jane Chittenden, OIR Procurement & Contract Management Director
Department of Finance & Administration
E-mail : Jane.Chittenden@tn.gov

FROM : John Lamar
E-mail : john.lamar@tn.gov

DATE : 8/23/13

RE : Request for OIR Pre-Approval Endorsement

Applicable RFS # 34701-11054
OIR Endorsement Signature & Date:

Chief Information Officer
<i>NOTE: Proposed contract/grant support is applicable to the subject IT service technical merit.</i>

Office for Information Resources (OIR) pre-approval endorsement appears to be required pursuant to professional service contracting regulations pertaining to procurements with information technology as a component of the scope of service. This request seeks to ensure that OIR is aware of and has an opportunity to review the procurement detailed below and in the attached documents.

Please document OIR endorsement of the described procurement (with the appropriate signature above), and return this document via e-mail at your earliest convenience.

Contracting Agency	Department of Revenue
Agency Contact (name, phone, e-mail)	John Lamar, (615) 253-1381, john.lamar@tn.gov
Subject Procurement Document (mark one)	
<input type="checkbox"/> RFP	<input type="checkbox"/> Contract
<input type="checkbox"/> Competitive Negotiation Request	<input type="checkbox"/> Contract Amendment
<input type="checkbox"/> Alternative Procurement Method Request	<input type="checkbox"/> Grant
<input checked="" type="checkbox"/> Non-Competitive Contract Request	<input type="checkbox"/> Grant Amendment
<input type="checkbox"/> Non-Competitive Amendment Request	
Information Systems Plan (ISP) Project Applicability	
<input checked="" type="checkbox"/> Not Applicable to this Request	
<input type="checkbox"/> Applicable- ISP Project#	
Response Confirmed by IT Director/Staff (name):	

Applicable RFS # 34701-11054

Required Attachments (as applicable – copies without signatures acceptable)

- RFP, Competitive Negotiation Request, Alternative Procurement Method Request, Non-Competitive Contract Request, Non-Competitive Amendment Request
- Original Contract/Grant or Amendment
- Proposed Contract/Grant or Amendment

Subject Information Technology Service Description

(Brief summary of information technology services involved. Clearly identify included technologies such as system development/maintenance, security, networking, etc. As applicable, identify the contract & solicitation sections related to the IT services.)

The current commercial vehicle fleet licensing, fuel tax reporting, audit processing and intrastate authority system provided by Xerox is a complex system that calculates fees per vehicle registered and for each state within which the vehicle operates. Taxes are calculated for each fleet based on fuel tax used per jurisdictions. Fees/taxes are balanced and disbursed monthly for IFTA and IRP utilizing the Clearinghouse, which is used to facilitate the electronic exchange and reconciliation of registration information and fees among jurisdictions. The system also balances Tennessee Intrastate Authority fees for monthly collection reporting. The IRP and IFTA consist of state and Canadian provinces. There are currently 59 IRP jurisdictions and 58 IFTA jurisdictions.



CONTRACT

(fee-for-service contract with an individual, business, non-profit, or governmental entity of another state)

Begin Date 11/01/13	End Date 10/31/18	Agency Tracking # 34701-11054	Edison Record ID		
Contractor Legal Entity Name Xerox State and Local Solutions			Edison Vendor ID 5757		
Service Caption (one line only) Processing services for commercial licensing and tax administration					
Subrecipient or Vendor <input type="checkbox"/> Subrecipient <input checked="" type="checkbox"/> Vendor		CFDA # N.A.			
Funding —					
FY	State	Federal	Interdepartmental	Other	TOTAL Contract Amount
2014	\$370,542				\$370,542
2015	\$555,813				\$555,813
2016	\$555,813				\$555,813
2017	\$555,813				\$555,813
2018	\$555,813				\$555,813
2019	\$185,271				\$185,271
TOTAL:	\$2,779,065				\$2,779,065
American Recovery and Reinvestment Act (ARRA) Funding: <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO					
Ownership/Control <input type="checkbox"/> African American <input type="checkbox"/> Asian <input type="checkbox"/> Hispanic <input type="checkbox"/> Native American <input type="checkbox"/> Female <input type="checkbox"/> Person w/Disability <input type="checkbox"/> Small Business <input type="checkbox"/> Government <input checked="" type="checkbox"/> NOT Minority/Disadvantaged <input type="checkbox"/> Other:					
Selection Method & Process Summary (mark the correct response to confirm the associated summary)					
<input type="checkbox"/> RFP	The procurement process was completed in accordance with the approved RFP document and associated regulations.				
<input type="checkbox"/> Competitive Negotiation	The predefined, competitive, impartial, negotiation process was completed in accordance with the associated, approved procedures and evaluation criteria.				
<input type="checkbox"/> Alternative Competitive Method	The predefined, competitive, impartial, procurement process was completed in accordance with the associated, approved procedures and evaluation criteria.				
<input checked="" type="checkbox"/> Non-Competitive Negotiation	The non-competitive contractor selection was completed as approved, and the procurement process included a negotiation of best possible terms & price.				
<input type="checkbox"/> Other	The contractor selection was directed by law, court order, settlement agreement, or resulted from the state making the same agreement with <u>all</u> interested parties or <u>all</u> parties in a predetermined "class."				
Budget Officer Confirmation: There is a balance in the appropriation from which obligations hereunder are required to be paid that is not already encumbered to pay other obligations.				<i>OCR USE - FA</i>	
Speed Chart (optional)		Account Code (optional)			

RV00000358

70803000

Draft

**CONTRACT
BETWEEN THE STATE OF TENNESSEE,
TENNESSEE DEPARTMENT OF REVENUE
AND
XEROX STATE & LOCAL SOLUTIONS, INC.**

This Contract, by and between the State of Tennessee, Department of Revenue, hereinafter referred to as the "State" and Xerox State & Local Solutions, Inc., hereinafter referred to as the "Contractor," is for the provision of processing services for commercial licensing and tax administration, as further defined in the "SCOPE OF SERVICES."

The Contractor is a For-Profit Corporation.
Contractor Place of Incorporation or Organization: New York
Contractor Edison Registration ID #5757

- A. SCOPE OF SERVICES: The Contractor shall furnish the following services to the State.
- A.1. The Contractor shall provide all service and deliverables as required, described, and detailed by this Scope of Services and shall meet all service and delivery timelines specified in the Scope of Services section or elsewhere in this Contract
- A.2. All system modifications shall be performed and completed in an acceptable time frame, as mutually agreed to by the Contractor and the State. Modifications due to State requested changes or State law will be scoped for cost and delivery date. The State will provide Contractor with notice of potential law changes and requirements at the beginning of each calendar year and otherwise as knowledge is gained by the State. Contractor will provide a description of the service necessary to meet the legislative changes requirement. No work will be performed without the State's prior written approval. If legislation causes changes to the system, the scope of services and payment terms of the contract will not change unless an amendment is submitted and approved by the State. Amendments which are required to maintain compliance with IRP and IFTA will be implemented by the Contractor at no cost to the State.
- A.3. The Contractor shall provide a full service integrated turnkey system for application, payment, refund, and receipt processing for all accounts filing manually or electronically and the calculating, balancing and disbursing of fees/taxes. The system shall issue credentials and generate notices. Commercial Vehicle fleet licensing and registration data shall be provided daily for audit purposes, utilizing the DB Software file format (See Attachment 2). Processes shall provide a common account for IRP, IFTA and Intrastate authority. The system shall perform an immediate USDOT verification check at the account level for IRP only. The system shall be hosted and maintained in a secured environment at Contractor's physical location.

The system shall include the requirements for and be compliant with the International Registration Plan, including the Performance and Registration Information Systems Management, the IRP Clearinghouse, the International Fuel Tax Agreement, the IFTA Clearinghouse, CVISN and Intrastate authority processing. PRISM, CVISN, and Intrastate changes may be billable depending on the scope of the changes.

The system must provide an audit trail/history for all processes/transactions as currently being performed today by maintaining statistical reporting by user id, transaction time and transactions by date range.

The system shall provide inquiry capability without updating data. All existing processes shall be operational at start of contract.

Nightly International Registration Plan and International Fuel Tax Agreement data file dumps shall be provided to the State in accordance with Tennessee's Commercial Vehicle Exchange Window as currently being performed today using the SAFER 4.2 Data Dictionary requirements for roadside enforcement (**See Attachment 1**).

Inventories shall be system maintained and issued for IFTA, IRP and Intrastate credentialing. Inventory shall include IRP license plates and decals and IFTA decals. The system shall maintain a block of numbers and assign a numeric, sequential number to be assigned to the Intrastate authority permit card. Inventories shall be identified by location code for Nashville office with the option to add additional locations.

Daily payment file uploads from the State's lockbox system are required. System functions shall be available at multiple sites in Nashville, Tennessee from the State's network, as well as connectivity from remote locations via telephone/T1 line connections and available through the Inter/Intranet.

The system shall provide for both a production and a test system.

The system shall provide the following to the State:

- a. Provide "Software" meaning all computer programs, sub-routines, translations compilers, diagnostic routines, control software, or special software which is produced, provided or modified by the Contractor under the terms of this contract.
- b. Provide the Multiprotocol Label Switching (MPLS) communication line for firewall/router equipment.
- c. Provide a toll free number for the State's use relating to system problem resolution. Staff must be available 7:00 am-6:00 p.m. C.S.T., Monday through Friday.
- d. Maintain the integrity of the State's data by providing a disaster recovery business plan that shall not have the State's processing services down for more than seventy-two (72) hours. Daily incremental backups, with full backups, shall be performed in compliance with current Contractor standards.

Data backup plans should adhere to the following State standards:

1. All production applications must be protected against software error.
2. All data must be protected against unauthorized modifications.
3. Production servers should be backed up completely and as often as needed, depending on use and weekly at a minimum.
4. An offsite backup should be maintained for each server.
5. Backup method should allow for "file by file" recovery.
6. Backups must occur on a regularly scheduled basis.
7. Backup and Recovery must be planned and must document the following areas of responsibility.
 - a. What data is to be backed up?
 - b. How often and when?
 - c. How many versions are to be kept?
 - d. Where backup volumes are to be stored?
 - e. How to recover volumes?
 - f. How to access off site volumes?
 - g. How to restore a single volume?
- e. Provide current on-site printing capabilities including the option to either print immediately or via batch job to be executed at a State/user specified location. All electronic filer print reports shall be routed to electronic filer's PC location based on a system environment provided by the Contractor and using State defined guidelines for all printed substitute forms. **(See Attachment 6 - Current modification ongoing Xerox Logs #124982 & 124983).**
- f. During standard business hours, on-line processes shall update immediately, with an expected response time of no more than 5 seconds per update for ninety-seven (97%) of the updates. The system shall provide for inquiry only capability without data updates via both Graphical User Interface (GUI) screens and reports.

- g. Contractor shall maintain accurate and current fuel and registration programs, jurisdiction profiles, taxes and fees in accordance with Tennessee state laws, the IRP, the IFTA and Intrastate authority programs.
- h. Provide IFTA files in requested format for the State to retrieve from the vendor's FTP server and process daily. Any files containing records that include a scan line will adhere to the Tennessee Approval Guidelines for Printed Substitute Forms (See Attachment 6) The State will provide IFTA and IRP payment files to Contractor processed daily through the State's lockbox system used for automated posting of payments and payment tracking. Payments may be posted electronically. Manually posted payments will be controlled using State designated user IDs and password protection.
- i. Provide and maintain financial data for monthly balancing purposes and report generation.
- j. System shall provide status information at the account level. Status shall be consistent with the IRP and IFTA requirements, www.irponline.org and www.iftach.org. System shall assign an IRP account number of up to six digits and an IFTA account number of seven digits. All IRP and IFTA account numbers will be system generated, randomized numbers.
- k. USDOT data shall be captured, maintained and available for print from the account level for IFTA and IRP and also from the vehicle level for IRP. The IRP program shall deny a USDOT number with a classification of registrant (R) type to be used at the vehicle level. The USDOT number of the carrier responsible for the safety of the vehicle shall print on the IRP cab card, temporary authorization permit and the renewal applications for IRP and Intrastate authority. The USDOT number shall print on the IRP, IFTA and Intrastate renewal applications.
- l. Provide custom interface capability with existing DB Audit Software. **(See Attachment 2)**

A.4 "International Registration Plan (IRP) System" incorporating the Performance Registration Information System Management (PRISM) means registration credential processing of fleets of commercial vehicles on a staggered monthly basis, ensuring that no vehicle is plated without identifying the carrier responsible for the safety of the vehicle during the registration year. The USDOT number must be in active status.

Business Processes and System functionality must support.

- Application processing.

System shall provide necessary screens to enter application data. During the initial registration process the user shall enter data into the system to add an account. The system shall issue a six (6) digit numeric sequential account number. The account information shall include:

1. Registrant name
2. Registrant Doing Business As Name
3. Registrant Mailing address
4. Carrier Type - Private or For-Hire
5. Contact Person Name and telephone number
6. Registrant's United States Department of Transportation Number - 7 digits
7. Registrant's Federal Employee Identification Number or Social Security Number - 11 digits. **Note:** SSNs are no longer printed on the renewals or returns.
8. Fleet Numbers - (3) digits
9. Three cross reference number fields (one for IRP and two for IFTA)
10. A field designed to indicate account status of active or inactive
11. A changeable three digit field on the carrier information screen to be used for the following
 - Active Status
 - Outstanding Fee
 - Closed Account
 - Bankruptcy
12. A 2 digit field to display registration month. This field should default to the current month based on the date when data is entered.
13. E-mail Address

- Supplement application processing shall include the following transactions:

1. Add Vehicle
2. Add Jurisdiction Distance
3. Add New Jurisdiction Weight
4. Change Vehicle
5. Change Carrier Type
6. Decrease Jurisdiction Weight
7. Delete Vehicle
8. Increase Jurisdiction Weight
9. Replace Credential(s)

- Renewal application processing shall retrieve data from active IRP accounts based on the account expiration month and registration year. The renewal document shall print all data for active accounts as specified in accordance with the International Registration Plan. An address label shall accompany the printing of the renewal document. The system shall bring previous registration year and vehicle data forward, eliminating excessive keying by the user. The system shall allow electronic filers the option to receive electronic data vs. paper renewals. The user will be allowed to make any State approved modifications to the account. The option to reprint a single Renewal Schedule A dependent upon user request, is required. Renewal Schedule A shall print on 8 1/2" x 11" white bond paper. The following documents will print as a part of the IRP renewal application process:

1. International Registration Plan Schedule A
2. International Registration Plan Schedule B
3. Current year Estimated Distance Chart
4. Federal Motor Carrier Safety Administration MCS-150 document

a. Vehicle Specific Detail Screen

Screen shall be provided for entering and viewing data keyed prior to update. Provide an approved verification process for a Vehicle Identification Number prior to updating an added vehicle.

b. Vehicle Weight Screen

The screen shall allow entry of data from registrant. The system shall add total vehicles registered for each weight group and display the total on the Vehicles in Weight Profile inquiry screen. The system shall maintain a maximum weight limit edit for each jurisdiction.

c. Jurisdiction Distance Screen

Data provided by the registrant shall be entered into this screen. The screen shall include a column identifying each jurisdiction for entry of distances. An indicator shall be used to determine whether the distance entered is actual or estimated. The system shall determine if the estimated distance is a first or second year estimate. The system shall calculate total fleet distance entered and the total distance shall appear on the screen. After the distance is entered, an edit shall be in place to notify the user that distance totals calculated by the system do not match distance user entered and the system shall disallow further processing. An edit shall be in place to ensure contiguous jurisdictions and to disallow further processing.

d. License plate inventory and issuance

The license plate inventory will be maintained by State users based on access levels. The system shall provide a four digit field for each plate class allowing the State to enter a minimum level, a message shall appear on the screen during credential process to alert the user of the low inventory. System shall assign a license plate in numeric sequential order based on the combined gross vehicle weight. Tennessee has 11 weight classes. License plate inventories shall be available at multiple state and carrier locations. There will be an additional charge to set up inventories at carrier locations.

e. Decal issuance and inventories

The decal inventories will be maintained by the user based on access level. The system shall provide a four digit field for each plate class allowing the State to enter a minimum level, a message shall appear on the screen during credential process to alert the user of the low inventory. Decal inventories shall be available at multiple state and carrier locations. There will be an additional charge to set up inventories at carrier locations.

f. System shall calculate fees at the account, fleet, vehicle and supplement level for each member IRP jurisdiction in accordance with the International Registration Plan. Fees shall be calculated for the original registration supplement, the renewal supplement and for additional supplements. The fees shall provide breakdowns of Tennessee's taxes and fees associated with commercial vehicle registration. Modification of data keyed must be available. This process will calculate and print the bill immediately by pressing a key. The bill shall print on one-page, front and back 8 1/2" x 11" white bond paper. Scan line must be printed on bill according to State defined lockbox file layout (**See Attachment 5**)

Data to print on bill.

Front of bill:

1. State of Tennessee seal
2. Heading: Tennessee Department of Revenue
3. Registrant account name and address
4. Account No.
5. Date: - bill printed
6. TIN
7. Fleet No.
8. License Month
9. Registration Year
10. Supplement No.
11. Cab Card fee
12. Tax Class 10513 registration fee
13. Tax Class 10514 registration fee
14. Lessee-Reg fee - \$2.00 fee for a lessee fee
15. Local Sales Tax
16. State Sales Tax
17. Safety fee - \$1.75 fee for each plate issued within a supplement
18. Title fee
19. T & R computer system
20. Transaction fee
21. Trade-in allowance
22. Tennessee registration fee
23. Jurisdiction fee total
24. Total Amount Due
25. Repl Plate Fee

Bottom portion of bill:

1. Registrant name and address
2. Return address
3. Date
4. Notice No.
5. Account No.
6. Amount Owed
7. Space for amount of payment
8. For Office Use only field

9. Note regarding payment
10. Scan line
11. STARS code

Back of bill:

12. Every jurisdiction
 13. Jurisdiction percentage
 14. Jurisdiction fee
 15. Total for jurisdictions
 16. Total of power units processed for existing supplement
- g. Allow credit from a deleted vehicle supplement to be applied to an added vehicle as long as the deleted vehicle occurs in the same account, fleet, and supplement during the current registration year
- h. Allow credit for a county issued intrastate license plate to a commercial apportioned registration based on the remaining months in the registration year.
- i. Provide ability to balance and disburse funds to IRP jurisdictions and report Tennessee fees and taxes monthly. The system must produce a detailed recap of information, as well as a summary. The recap shall indicate the total fees due to each jurisdiction and a breakdown of fees for jurisdictions with tiered fee structures as specified in the IRP.
- j. Provide a refund process for registration fees based on the number of months remaining in the registration year in the event of an overpayment, broken lease, erroneous registration, duplicate registration or as the result of an audit. Audit results are not currently accounted for within the refund process. This new requirement will not be billed to the State assuming there is less than 40 hours of development required to add the function. Anything over 40 hours will be billed to the State at the hourly rate indicated in Section C.3.
- k. Generate a registration document identified as a Cab Card. The system shall print one (1) cab card. The cab card shall be compliant with the PRISM Cab Card Bar Code Specifications Version 3.4.1 dated October, 2008. (See Attachment 3) The cab card is printed on 8 1/2" x 11" bond paper with the Tennessee state seal in the background. System will allow cab card to print at carrier location for all supplements/fleets.
- l. Generate an Inventory Pick List. The inventory list indicates the exact credentials assigned to each vehicle. The system shall print two (2) copies of the Inventory Pick List on 8 1/2" x 11" white bond paper and shall print immediately following the International Registration Plan Cab Card with no action required by the user. Cab card printing capabilities shall be available at multiple State and carrier locations. Carriers are not currently able to print cab cards at their own locations - there would be an additional cost for providing this functionality. System will allow inventory pick list to print at carrier location for all supplements/fleets.
- m. System shall provide the option to allow the user to issue a temporary authorization permit. A temporary authorization permit may be issued for a specific vehicle upon user request. The purpose of the temporary authorization permit is to allow immediate operation of the vehicle awaiting receipt of credentials. The system shall assign a system generated number for each temporary authorization permit and maintain an inventory of issued temporary permits. The system shall calculate forward 45 days from the date the supplement was keyed and that date shall be printed on the temporary authorization permit. There shall be an override to increase or decrease the number of days based on user access level. All data printed on the temporary authorization permit shall be IRP compliant. The temporary authorization permit shall be printed on 8 1/2 x 11" bond paper with a Tennessee state seal letterhead. The temporary authorization permit shall be compliant with the PRISM Bar Code Specifications and the bar code shall print on the temporary permit. System will allow temporary permits to print at carrier location for all supplements/fleets except temporary permits for renewal transaction.

- n. Inquiry capability shall be available for viewing without updating by the following categories:
1. Registrant name
 2. Doing business as name
 3. United States Department of Transportation number
 4. Registrant's location zip code
 5. Federal Employee Identification Number or Social Security Number
 6. Vehicle identification Number
 7. License plate number
 8. Decal number
 9. Vehicle unit number when account number and registration year is provided.
 10. Listings of all vehicles in a fleet when account number and registration year provided.
 11. Listing of all vehicles in a specific supplement for a specific registration year.
- o. Provide system menu to enter, inquire, track and print payments received from member IRP jurisdictions.
- p. Provide processes for participation in the IRP Clearinghouse, a system for electronically sharing IRP recap and transmittal documentation and for the netting of audits through the electronic exchange of fees between IRP jurisdictions. The netting portion will allow for a single monthly electronic exchange of funds between the Clearinghouse and each member jurisdiction.
- q. The system shall create a liability to the account as the result of an initial or supplemental application resulting in fees being due. This liability shall also create a history record. Upon receipt of a payment, the liability and the history of all supplements processed shall be compared to determine if there is available credit. Available credit shall be applied to previous unpaid supplement. Remaining credits shall be brought forward and indicated on the account screen for the next supplement processed within the current registration year.
- r. The system shall provide for a field or page on the account screen to allow user to make comments regarding account.
- s. Generate the following reports upon request:
1. Registrant listing by name
 2. Registrant listing by zip code
 3. Number of active accounts to be renewed on a monthly basis
 4. Total fleet miles for every registrant for estimated distance chart
 5. License Plate Inventory shall include the following information:
 - a. Beginning - Ending Inventory for all 11 weight classes.
 - b. Next available license plate for all weight classes.
 - c. All assigned license plates by date range for all weight classes.
 - d. All assigned decals by date range.
 - e. Next available decal.
 6. Disbursement/Transmittal and Recap reports.
 7. Accounts Receivable - all outstanding invoices not paid.
 8. Daily activity by user ID.
 9. Active status as specified in the IRP.
 10. Temporary Authorization Permits issued based on date range
 11. Refund Letter
 12. Refund report. The report includes the following information:
 - a. Registrant name
 - b. Refund Amount
 - c. Account Number
 - d. Refund Number
 - e. Document Location Number assigned to each payment.
 - f. Payment date

13. Lockbox report listing - any changes to the existing report will be estimated for time and cost.
14. Decal Inventory as currently being provided
15. Annually generate Estimated Distance Charts for Tennessee
16. Electronic filer report

A.4 International Fuel Tax Agreement - (IFTA) is responsible for administering the fuel tax registration and reporting of the "International Fuel Tax Agreement".

Business Processes and System functionality must support:

a. IFTA/Renewal application

Generate a file for printing an IFTA application. The same application is used for the initial and the renewal application on an annual basis. The pre-printed initial registration application will be provided to the licensee for completion. The renewal application shall print with current information from the account printed on the application. The renewal application shall print during October of each year upon request. The application shall print on 8 1/2" x 11" white bond paper with a Tennessee state seal. Information received from the licensee shall be entered into the system by the user. Upon completion of entering the application data, the system shall print an IFTA license.

b. IFTA license

The IFTA license shall print on 8 1/2" x 11" white bond paper. There would be an additional charge for the IFTA system to print the license with the Tennessee state seal. The system shall maintain the total number of IFTA licenses printed and shall be available upon request.

c. Decal inventory

System shall assign a six (6) digit numeric sequential decal number for every vehicle in the fleet based on data entered from the initial or the renewal application. The decal inventory shall be maintained by the user based on access level. A message shall appear on the screen during credential process to alert the user of low inventory. A report shall print for the users indicating the following:

1. Account number
2. The beginning and ending decal number(s) assigned to the account.

d. Quarterly Tax Returns Quarterly tax returns shall be printed for each active account in accordance with the IFTA. Licensees that are established electronic filers or third party service providers have the option to file electronically or receive a paper tax return. The system shall maintain a record that the return should have been filed. In the event a tax return is not filed, the system will automatically generate a failure to file notice.

Quarterly tax returns must include a scan line in accordance with the State's lockbox system specifications for daily payment processing. (**See Attachment 5**)

e. Data entry of quarterly tax return:

Screens shall be provided to enter all data from tax returns as specified with the IFTA. Edits shall be in place to ensure data is entered in required fields.

f. Inquiry capabilities shall be available for viewing without updating in the following categories.

1. Registrant name
2. Doing Business Name
3. Federal Employee Identification Number or Social Security Number
4. United States Department of Transportation Number
5. Registrant location zip code
6. Account tax activity history
7. Payment activity
8. Refund activity
9. Account and billing activity summary
10. Decal inventory

11. Account number

- g. Provide the ability to balance and disburse funds to International Fuel Tax Agreement jurisdictions and report Tennessee fees and taxes monthly. The system shall produce a detailed recap of information, as well as a summary of information as specified in the IFTA.
- h. Provide processes for participation in the IFTA Clearinghouse, a system for electronically sharing licensee demographic and transmittal data. The Clearinghouse is also responsible for providing a mechanism for the exchange of inter-jurisdictional audit reports. IFTA transmittal documentation shall account for all funds received from tax returns for member jurisdictions and funds received as the result of audits. The audit funds are netted with the tax return funds and a single dollar amount is transmitted to the IFTA jurisdictions.
- i. Refunds - System shall provide the capability to enter data and print a notice for an IFTA refund. Notice shall print through overnight batch processing. System shall assign a four digit numeric sequential refund number immediately following the letter M. The numeric sequential number shall begin with M 0001 on July 1 of each year.
- j. Provide system menu to enter, inquire and track payments received from member IFTA jurisdictions. System shall have report generation with overnight printing capability.
- k. Report generation

Generate the following reports upon request.

- 1. Licensee listing by name
- 2. Licensee zip code
- 3. Total accounts to be renewed
- 4. Inventory of decals assigned the previous day
- 5. Incomplete Tax Returns
- 6. No Activity Returns filed for three (3) or more consecutive quarters
- 7. Employee Activity Report (Daily and Monthly)
- 8. Assessment/Credit Letters
- 9. Failure to file letter- Upon request by user, system will create a file and print a failure to file letter
- 10. Revocation letters- system shall automatically print revocation letters 30 days after the failure to file letter
- 11. IFTA Accounts Closed
- 12. Daily activity By User-ID
- 13. Activity By Trans Type
- 14. Correspondence By Type
- 15. Daily Suspense Action
- 16. IFTA Accounts Added
- 17. Payments Received
- 18. Accounts Receivable Aging
- 19. Transaction Header Summary
- 20. Account Status Changes
- 21. Audit Work Papers
- 22. Transmitted Data Error Report
- 23. Batch Header Processing
- 24. Remittance Processing (RP)
- 25. Unmatched RP Records
- 26. IFTA Match Error Report
- 27. Posted Payments
- 28. E-mail address
- 29. Active accounts

A.5 Intrastate Authority

System shall provide for data entry keying of registration and renewal data, calculation of fees, posting payment of fees and assigning and printing a permit card for-private for hire, for hire motor carriers, wreckers and tow trucks/car haulers that operate only in the State of Tennessee. The system shall also provide for inquiry capabilities without data updates via both screens and reports.

Business Processes and System functionality must support.

a. Registration/Supplement/Renewal application

1. The registration year for intrastate authority is January 1 through December 31 of each year.
2. The same application is used for the initial registration and for a name change. The preprinted initial registration application will be provided to the licensee for completion.
3. The supplemental application is used when additional permit cards are requested.
4. The system shall provide for a renewal application on an annual basis. The renewal application shall print current account information for each active account. The renewal application shall be mailed mid-September. The renewal application shall print on 8 1/2" x 11" white bond paper with a Tennessee state seal.
5. Payments of fees must accompany all applications. Information received from the licensee shall be entered into the system by the user. Screens shall provide fields for entering current designation of a local agent for service of process, the name of the effective insurance company, the amount of insurance coverage and the effective date of the policy.

b. Calculation of fees

Payments of fees accompany all applications and the system shall calculate fees to allow the user to verify accuracy of data submitted by the licensee prior to updating. Fee breakdown:

1. Vehicle fee-\$8.00
2. A \$50.00 one-time application fee
3. A \$25.00 name change fee when applicable

c. Payment Posting/Printing Receipt

Screens shall be provided to allow for posting of payments. The screen shall include:

1. Licensee name
2. Licensee account number
3. Licensee address
4. Payment receipt number
5. Breakdown of fees collected
6. Total of fees collected
7. Scan line on the renewal application

Upon the posting of each payment, a receipt shall print with information identified on the payment screen. Payments received during the month shall be maintained by the system.

d. Inventory

The system shall maintain a block of numbers and assign a numeric sequential number to print on an intrastate permit card. The system shall maintain an inventory of issued permit numbers.

e. Permit Card

The system shall print a permit for all non-filers. The permit is printed on an 8 1/2" x 11" white bond paper with the Tennessee state seal. The following data shall print on the permit:

1. Permit number
2. Expiration date
3. Licensee name

4. Account number

f. Provide on-site printing capability for batch jobs to be executed at the State/user specified location. Reports may be viewed or printed. Provide the ability to generate the following reports upon request.

1. Registrant listings by name
2. Incomplete application processed
3. Active accounts
4. Financial reports
5. Application fee
6. Vehicle Fee
7. Name Change
8. Payment processing receipt number

A.6 Enhancements

IRP and IFTA

- The system shall consist of a real-time web service to interface to the State's payment processor allowing payments to be made by use of credit cards or other acceptable State electronic means. An electronic receipt shall be provided to the customer immediately and notify both the customer and State users of a completed transaction within the system. The Contractor shall become certified (i.e., establish an interface) with the Department of Finance and Administration's statewide merchant services contractor, Link2Gov Corp. If the Contractor is not certified, certification shall be completed within sixty (60) calendar days from the Contract begin date or as otherwise agreed to in writing between the Contractor and the State. The Department of Finance Administration's contract with Link2Gov Corp. is scheduled to terminate on May 26, 2015. If during the term of this Contract the Department of Finance and Administration's contract with Link2Gov Corp. is terminated, the Contractor shall become certified to process electronic commerce transactions with a subsequent different Department of Finance Administration's merchant services contractor within sixty (60) calendar days after notification by the State of the change in contractors, or as otherwise agreed to in writing between the Contractor and the State. A separate Cost Proposal to include costs related to interface development and implementation will be drafted by the Contractor and presented to the State for their signature approval. Any revisions to the interface after implementation including but not limited to upgrades or new versions will be supported by the Contractor after a new Cost Proposal is drafted by the Contractor and presented to the State for their written approval.

-The system will have the capability to automatically renew the account but not allow user access to credential processing.

-The system will allow ability for customers to update preapproved account information on line.

-The system will email assessment and credit letters to customers. Note: Please see note above in regard to email capability on the IFTA/Intrastate system.

-The system will allow customers to amend electronic tax returns.

B. CONTRACT PERIOD:

This Contract shall be effective for the period beginning 11/1/2013, and ending on 10/31/2018. The Contractor hereby acknowledges and affirms that the State shall have no obligation for services rendered by the Contractor which were not performed within this specified contract period.

C. PAYMENT TERMS AND CONDITIONS:

C.1. Maximum Liability. In no event shall the maximum liability of the State under this Contract exceed two million, seven hundred seventy nine thousand, and sixty-five dollars (\$2,779,065.00).

The payment rates in Section C.3 shall constitute the entire compensation due the Contractor for all service and Contractor obligations hereunder regardless of the difficulty, materials or equipment required. The payment rates include, but are not limited to, all applicable taxes, fees, overheads, and all other direct and indirect costs incurred or to be incurred by the Contractor.

The Contractor is not entitled to be paid the maximum liability for any period under the Contract or any extensions of the Contract for work not requested by the State. The maximum liability represents available funds for payment to the Contractor and does not guarantee payment of any such funds to the Contractor under this Contract unless the State requests work and the Contractor performs said work. In which case, the Contractor shall be paid in accordance with the payment rates detailed in Section C.3. The State is under no obligation to request work from the Contractor in any specific dollar amounts or to request any work at all from the Contractor during any period of this Contract.

- C.2. Compensation Firm. The payment rates and the maximum liability of the State under this Contract are firm for the duration of the Contract and are not subject to escalation for any reason unless amended.
- C.3. Payment Methodology. The Contractor shall be compensated based on the payment rates herein for units of service authorized by the State in a total amount not to exceed the Contract Maximum Liability established in Section C.1.
- a. The Contractor's compensation shall be contingent upon the satisfactory completion of units, milestones, or increments of service defined in Section A.
 - b. The Contractor shall be compensated for said units, milestones, or increments of service based upon the following payment rates:

Service Description	Amount (per compensable increment)
International Registration Plan (IRP) System incorporating PRISM and IRP Clearinghouse	Year 1 - \$317,479.00 Year 2 - \$317,479.00 Year 3 - \$317,479.00 Year 4 - \$317,479.00 Year 5 - \$317,479.00
International Fuel Tax Agreement (IFTA) Registration, Access, and Tax Return Processing System incorporating the IFTA Clearinghouse, and Intrastate	Year 1 - \$222,546.00 Year 2 - \$222,546.00 Year 3 - \$222,546.00 Year 4 - \$222,546.00 Year 5 - \$222,546.00
Network Line	\$10,029.00 annually
Systems Modifications	\$96.00/hr for a maximum liability of \$28,800
Total	\$2,779,065.00

- c. The Contractor shall not be compensated for travel time to the primary location of service provision.

- C.4. Travel Compensation. The Contractor shall not be compensated or reimbursed for travel, meals, or lodging.

- C.5. Invoice Requirements. The Contractor shall invoice the State only for completed increments of service and for the amount stipulated in section C.3, above, and present said invoices no more often than monthly, with all necessary supporting documentation, to:

State Agency Billing Address:

Sheila Rowen
Tennessee Department of Revenue
Assistant Director Vehicle Services Division
44 Vantage Way Suite 160
Nashville TN 37243-8050

- a. Each invoice shall clearly and accurately detail all of the following required information (calculations must be extended and totaled correctly).
- (1) Invoice Number (assigned by the Contractor)
 - (2) Invoice Date
 - (3) Contract Number (assigned by the State)
 - (4) Customer Account Name: Tennessee Department of Revenue
 - (5) Customer Account Number (assigned by the Contractor to the above-referenced Customer)
 - (6) Contractor Name
 - (7) Contractor Tennessee Edison Registration ID Number Referenced in Preamble of this Contract
 - (8) Contractor Contact for Invoice Questions (name, phone, and/or fax)
 - (9) Contractor Remittance Address
 - (10) Description of Delivered Service
 - (11) Complete Itemization of Charges, which shall detail the following:
 - i. Service or Milestone Description (including name & title as applicable) of each service invoiced
 - ii. Number of Completed Units, Increments, Hours, or Days as applicable, of each service invoiced
 - iii. Applicable Payment Rate (as stipulated in Section C.3.) of each service invoiced
 - iv. Amount Due by Service
 - v. Total Amount Due for the invoice period
- b. The Contractor understands and agrees that an invoice under this Contract shall:
- (1) Include only charges for service described in Contract Section A and in accordance with payment terms and conditions set forth in Contract Section C;
 - (2) Only be submitted for completed service and shall not include any charge for future work;
 - (3) Not include sales tax or shipping charges; and
 - (4) Initiate the timeframe for payment (and any discounts) only when the State is in receipt of the invoice and the invoice meets the minimum requirements of this section C.5.

- C.6. Payment of Invoice. A payment by the State shall not prejudice the State's right to object to or question any payment, invoice, or matter in relation thereto. A payment by the State shall not be construed as acceptance of any part of the work or service provided or as approval of any amount invoiced.

- C.7. Invoice Reductions. The Contractor's invoice shall be subject to reduction for amounts included in any invoice or payment theretofore made which are determined by the State, on the basis of audits conducted in accordance with the terms of this Contract, not to constitute proper remuneration for compensable services.

- C.8. Deductions. The State reserves the right to deduct from amounts, which are or shall become due and payable to the Contractor under this or any contract between the Contractor and the State of Tennessee any amounts, which are or shall become due and payable to the State of Tennessee by the Contractor.
- C.9. Prerequisite Documentation. The Contractor shall not invoice the State under this Contract until the State has received the following documentation properly completed.
- a. The Contractor shall complete, sign, and present to the State an "Authorization Agreement for Automatic Deposit (ACH Credits) Form" provided by the State. By doing so, the Contractor acknowledges and agrees that, once said form is received by the State, all payments to the Contractor, under this or any other contract the Contractor has with the State of Tennessee shall be made by Automated Clearing House (ACH).
 - b. The Contractor shall complete, sign, and present to the State a "Substitute W-9 Form" provided by the State. The taxpayer identification number detailed by said form must agree with the Contractor's Federal Employer Identification Number or Tennessee Edison Registration ID referenced in this Contract.
- D. STANDARD TERMS AND CONDITIONS:**
- D.1. Required Approvals. The State is not bound by this Contract until it is signed by the contract parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this contract, said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).
- D.2. Modification and Amendment. This Contract may be modified only by a written amendment signed by all parties hereto and approved by both the officials who approved the base contract and, depending upon the specifics of the contract as amended, any additional officials required by Tennessee laws and regulations (said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).
- D.3. Termination for Convenience. The State may terminate this Contract without cause for any reason. Said termination shall not be deemed a breach of contract by the State. The State shall give the Contractor at least thirty (30) days written notice before the effective termination date. The Contractor shall be entitled to compensation for satisfactory, authorized service completed as of the termination date, but in no event shall the State be liable to the Contractor for compensation for any service which has not been rendered. Upon such termination, the Contractor shall have no right to any actual general, special, incidental, consequential, or any other damages whatsoever of any description or amount.
- D.4. Termination for Cause. If the Contractor fails to properly perform its obligations under this Contract in a timely or proper manner, or if the Contractor violates any terms of this Contract, the State shall have the right to immediately terminate the Contract and withhold payments in excess of fair compensation for completed services. Notwithstanding the above, the Contractor shall not be relieved of liability to the State for damages sustained by virtue of any breach of this Contract by the Contractor.
- D.5. Subcontracting. The Contractor shall not assign this Contract or enter into a subcontract for any of the services performed under this Contract without obtaining the prior written approval of the State. If such subcontracts are approved by the State, each shall contain, at a minimum, sections of this Contract below pertaining to "Conflicts of Interest," "Nondiscrimination," and "Records" (as identified by the section headings). Notwithstanding any use of approved subcontractors, the Contractor shall be the prime contractor and shall be responsible for all work performed.

- D.6. Conflicts of Interest. The Contractor warrants that no part of the total Contract Amount shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the Contractor in connection with any work contemplated or performed relative to this Contract.
The Contractor acknowledges, understands, and agrees that this Contract shall be null and void if the Contractor is, or within the past six months has been, an employee of the State of Tennessee or if the Contractor is an entity in which a controlling interest is held by an individual who is, or within the past six months has been, an employee of the State of Tennessee.
- D.7. Nondiscrimination. The Contractor hereby agrees, warrants, and assures that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of this Contract or in the employment practices of the Contractor on the grounds of handicap or disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal, Tennessee State constitutional, or statutory law. The Contractor shall, upon request, show proof of such nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.
- D.8. Prohibition of Illegal Immigrants. The requirements of Tennessee Code Annotated, Section 12-4-124, et seq., addressing the use of illegal immigrants in the performance of any Contract to supply goods or services to the state of Tennessee, shall be a material provision of this Contract, a breach of which shall be grounds for monetary and other penalties, up to and including termination of this Contract.
- a. The Contractor hereby attests, certifies, warrants, and assures that the Contractor shall not knowingly utilize the services of an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract. The Contractor shall reaffirm this attestation, in writing, by submitting to the State a completed and signed copy of the document at Attachment Seven, hereto, semi-annually during the period of this Contract. Such attestations shall be maintained by the Contractor and made available to state officials upon request.
 - b. Prior to the use of any subcontractor in the performance of this Contract, and semi-annually thereafter, during the period of this Contract, the Contractor shall obtain and retain a current, written attestation that the subcontractor shall not knowingly utilize the services of an illegal immigrant to perform work relative to this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant to perform work relative to this Contract. Attestations obtained from such subcontractors shall be maintained by the Contractor and made available to state officials upon request.
 - c. The Contractor shall maintain records for all personnel used in the performance of this Contract. Said records shall be subject to review and random inspection at any reasonable time upon reasonable notice by the State.
 - d. The Contractor understands and agrees that failure to comply with this section will be subject to the sanctions of Tennessee Code Annotated, Section 12-4-124, et seq. for acts or omissions occurring after its effective date. This law requires the Commissioner of Finance and Administration to prohibit a contractor from contracting with, or submitting an offer, proposal, or bid to contract with the State of Tennessee to supply goods or services for a period of one year after a contractor is discovered to have knowingly used the services of illegal immigrants during the performance of this Contract.
 - e. For purposes of this Contract, "illegal immigrant" shall be defined as any person who is not either a United States citizen, a Lawful Permanent Resident, or a person whose physical presence in the United States is authorized or allowed by the federal Department of Homeland

Security and who, under federal immigration laws and/or regulations, is authorized to be employed in the U.S. or is otherwise authorized to provide services under the Contract.

- D.9. Records. The Contractor shall maintain documentation for all charges under this Contract. The books, records, and documents of the Contractor, insofar as they relate to work performed or money received under this Contract, shall be maintained for a period of three (3) full years from the date of the final payment and shall be subject to audit at any reasonable time and upon reasonable notice by the State, the Comptroller of the Treasury, or their duly appointed representatives. The financial statements shall be prepared in accordance with generally accepted accounting principles.
- D.10. Prevailing Wage Rates. All contracts for construction, erection, or demolition or to install goods or materials that involve the expenditure of any funds derived from the State require compliance with the prevailing wage laws as provided in Tennessee Code Annotated, Section 12-4-401, et seq.
- D.11. Monitoring. The Contractor's activities conducted and records maintained pursuant to this Contract shall be subject to monitoring and evaluation by the State, the Comptroller of the Treasury, or their duly appointed representatives.
- D.12. Progress Reports. The Contractor shall submit brief, periodic, progress reports to the State as requested.
- D.13. Strict Performance. Failure by any party to this Contract to insist in any one or more cases upon the strict performance of any of the terms, covenants, conditions, or provisions of this Contract shall not be construed as a waiver or relinquishment of any such term, covenant, condition, or provision. No term or condition of this Contract shall be held to be waived, modified, or deleted except by a written amendment signed by the parties hereto.
- D.14. Independent Contractor. The parties hereto, in the performance of this Contract, shall not act as employees, partners, joint venturers, or associates of one another. It is expressly acknowledged by the parties hereto that such parties are independent contracting entities and that nothing in this Contract shall be construed to create an employer/employee relationship or to allow either to exercise control or direction over the manner or method by which the other transacts its business affairs or provides its usual services. The employees or agents of one party shall not be deemed or construed to be the employees or agents of the other party for any purpose whatsoever. The Contractor, being an independent contractor and not an employee of the State, agrees to carry adequate public liability and other appropriate forms of insurance, including adequate public liability and other appropriate forms of insurance on the Contractor's employees, and to pay all applicable taxes incident to this Contract.
- D.15. State Liability. The State shall have no liability except as specifically provided in this Contract.
- D.16. Force Majeure. The obligations of the parties to this Contract are subject to prevention by causes beyond the parties' control that could not be avoided by the exercise of due care including, but not limited to, natural disasters, riots, wars, epidemics, or any other similar cause.
- D.17. State and Federal Compliance. The Contractor shall comply with all applicable State and Federal laws and regulations in the performance of this Contract.
- D.18. Governing Law. This Contract shall be governed by and construed in accordance with the laws of the State of Tennessee. The Contractor agrees that it will be subject to the exclusive jurisdiction of the courts of the State of Tennessee in actions that may arise under this Contract. The Contractor acknowledges and agrees that any rights or claims against the State of Tennessee or its employees hereunder, and any remedies arising therefrom, shall be subject to and limited to those rights and remedies, if any, available under Tennessee Code Annotated, Sections 9-8-101 through 9-8-407.

- D.19. Completeness. This Contract is complete and contains the entire understanding between the parties relating to the subject matter contained herein, including all the terms and conditions of the parties' agreement. This Contract supersedes any and all prior understandings, representations, negotiations, and agreements between the parties relating hereto, whether written or oral.
- D.20. Severability. If any terms and conditions of this Contract are held to be invalid or unenforceable as a matter of law, the other terms and conditions hereof shall not be affected thereby and shall remain in full force and effect. To this end, the terms and conditions of this Contract are declared severable.
- D.21. Headings. Section headings of this Contract are for reference purposes only and shall not be construed as part of this Contract.

E. SPECIAL TERMS AND CONDITIONS:

- E.1. Conflicting Terms and Conditions. Should any of these special terms and conditions conflict with any other terms and conditions of this Contract, these special terms and conditions shall control.
- E.2. Communications and Contacts. All instructions, notices, consents, demands, or other communications required or contemplated by this Contract shall be in writing and shall be made by certified, first class mail, return receipt requested and postage prepaid, by overnight courier service with an asset tracking system, or by EMAIL or facsimile transmission with recipient confirmation. Any such communications, regardless of method of transmission, shall be addressed to the respective party at the appropriate mailing address, facsimile number, or EMAIL address as set forth below or to that of such other party or address, as may be hereafter specified by written notice.

The State:

Sheila Rowen, Assistant Director Vehicle Services Division
Tennessee Department of Revenue, Vehicle Services Division
44 Vantage Way, Suite 160
Nashville TN 37243
Sheila.Rowen@tn.gov
Telephone # (615) 253-4655
FAX # (615) 253-4258

The Contractor:

Jason S. Stein
Xerox State & Solutions, Inc.
101 North 1st Ave., Suite 2250
Phoenix AZ 85003
Jason.Stein@xerox.com
Telephone # (602) 412-2070
FAX # (602) 261-7991

All instructions, notices, consents, demands, or other communications shall be considered effectively given upon receipt or recipient confirmation as may be required.

- E.3. Subject to Funds Availability. The Contract is subject to the appropriation and availability of State and/or Federal funds. In the event that the funds are not appropriated or are otherwise unavailable, the State reserves the right to terminate the Contract upon written notice to the Contractor. Said termination shall not be deemed a breach of Contract by the State. Upon receipt of the written notice, the Contractor shall cease all work associated with the Contract. Should such an event occur, the Contractor shall be entitled to compensation for all satisfactory

and authorized services completed as of the termination date. Upon such termination, the Contractor shall have no right to recover from the State any actual, general, special, incidental, consequential, or any other damages whatsoever of any description or amount.

- E.4. Tennessee Consolidated Retirement System. The Contractor acknowledges and understands that, subject to statutory exceptions contained in Tennessee Code Annotated, Section 8-36-801, et. seq., the law governing the Tennessee Consolidated Retirement System (TCRS), provides that if a retired member of TCRS, or of any superseded system administered by TCRS, or of any local retirement fund established pursuant to Tennessee Code Annotated, Title 8, Chapter 35, Part 3 accepts state employment, the member's retirement allowance is suspended during the period of the employment. Accordingly and notwithstanding any provision of this Contract to the contrary, the Contractor agrees that if it is later determined that the true nature of the working relationship between the Contractor and the State under this Contract is that of "employee/employer" and not that of an independent contractor, the Contractor, if a retired member of TCRS, may be required to repay to TCRS the amount of retirement benefits the Contractor received from TCRS during the period of this Contract.
- E.5. Tennessee Department of Revenue Registration. The Contractor shall be registered with the Department of Revenue for the collection of Tennessee sales and use tax. This registration requirement is a material requirement of this Contract.
- E.6. State Ownership of Work Products. The State shall have ownership, right, title, and interest, including ownership of copyright, in all work products, including computer source code, created, designed, developed, derived, documented, installed, or delivered under this Contract subject to the next subsection and full and final payment for each "Work Product." The State shall have royalty-free and unlimited rights and license to use, disclose, reproduce, publish, distribute, modify, maintain, or create derivative works from, for any purpose whatsoever, all said Work Products.
- a. To the extent that the Contractor uses any of its pre-existing, proprietary or independently developed tools, materials or information ("Contractor Materials"), the Contractor shall retain all right, title and interest in and to such Contractor Materials, and the State shall acquire no right, title or interest in or to such Contractor Materials EXCEPT the Contractor grants to the State an unlimited, non-transferable license to use, copy and distribute internally, solely for the State's internal purposes, any Contractor Materials reasonably associated with any Work Product provided under the Contract.
 - b. The Contractor shall furnish such information and data as the State may request, including but not limited to computer code, that is applicable, essential, fundamental, or intrinsic to any Work Product and Contractor Materials reasonably associated with any Work Product, in accordance with this Contract and applicable state law.
 - c. Nothing in this Contract shall prohibit the Contractor's use for its own purposes of the general knowledge, skills, experience, ideas, concepts, know-how, and techniques obtained and used during the course of providing the services requested under this Contract.
 - d. Nothing in the Contract shall prohibit the Contractor from developing for itself, or for others, materials which are similar to and/or competitive with those that are produced under this Contract.
- E.7. Incorporation of Additional Documents. Each of the following documents is included as a part of this Contract by reference. In the event of a discrepancy or ambiguity regarding the Contractor's duties, responsibilities, and performance under this Contract, these items shall govern in order of precedence below. Included in this contract by reference are the following documents:
- 1) Attachment #1- SAFER layout
 - 2) Attachment #2- TN Audit DB Software layout
 - 3) Attachment #3- PRISM-IRP cab card bar code specifications
 - 4) Attachment #4- CVIEW layout
 - 5) Attachment #5- Lockbox Scan line Specifications

6) Attachment #6- TN Approval Guideline for Printed Forms

- a. This Contract document with any attachments or exhibits (excluding the items listed at subsections b. through e., below);
- b. any clarifications of or addenda to the Contractor's proposal seeking this Contract;
- c. the State solicitation, as may be amended, requesting proposals in competition for this Contract;
- d. any technical specifications provided to proposers during the procurement process to award this Contract;
- e. the Contractor's proposal seeking this Contract.

E.8. Confidentiality of Records. Strict standards of confidentiality of records shall be maintained in accordance with the law. All material and information, regardless of form, medium, or method of communication, provided to the Contractor by the State or acquired by the Contractor on behalf of the State, whether verbal, written, magnetic tape, cards or otherwise, shall be regarded as confidential information in accordance with the provisions of State law and ethical standards and shall not be disclosed, and all necessary steps shall be taken by the Contractor to safeguard the confidentiality of such material or information in conformance with State law and ethical standards.

The Contractor shall maintain the confidentiality of any "Return", "Tax Information" or "Tax Administration Information" as defined by Tenn. Code Ann. Sec. 67-1-1701, generated or acquired pursuant to this Contract. Such "Return", "Tax Information" or "Tax Administration Information" shall be protected as confidential by the Contractor in accordance with the requirements of Tenn. Code Ann. Sec. 67-1-1702 and other applicable laws and regulations. In addition to maintaining the confidentiality of any "Return", "Tax Information" or "Tax Administration Information", the Contractor shall also maintain the confidentiality of other information which it acquires from the State, under the Contract, that is marked "Confidential", and shall not disclose such information to any third party unless specifically authorized to do so in writing by the Commissioner.

The contractor shall maintain the confidentiality of personal information about any person obtained in connection with a motor vehicle record. Such information shall be protected as confidential by the Contractor in accordance with the requirements of Tenn. Code Ann. Sec. 55-25-101, et seq., known as the Tennessee Uniform Motor Vehicles Records Disclosure Act, 18 U.S.C. Sec. 2721, et seq., known as the Federal Drivers Privacy Protection Act of 1994, and other applicable laws, regulations, and procedures for disclosure of confidential information issued by the State.

If the Contractor receives written approval from the State to assign this Contract or to enter into a subcontract for any of the services performed under this contract, the subcontract shall contain language that binds the subcontractor to the same confidentiality provisions and restrictions to which the Contractor is bound under this Contract.

The Contractor will be deemed to have satisfied its obligations under this section by exercising the same level of care to preserve the confidentiality of the State's information as the Contractor exercises to protect its own confidential information so long as such standard of care does not violate the applicable provisions of the first or second paragraphs of this section.

The Contractor's obligations under this section do not apply to information in the public domain; entering the public domain but not from a breach by the Contractor of this Contract; previously possessed by the Contractor without written obligations to the State to protect it; acquired by the Contractor without written restrictions against disclosure from a third party which, to the Contractor's knowledge, is free to disclose the information independently developed by the Contractor without the use of the State's information; or, disclosed by the State to others without restrictions against disclosure.

It is expressly understood and agreed that the obligations set forth in this section shall survive the termination of this Contract.

E.9. Copyrights and Patents. The Contractor agrees to indemnify and hold harmless the State of Tennessee as well as its officers, agents, and employees from and against any and all claims or suits which may be brought against the State for infringement of any laws regarding patents or copyrights which may arise from the Contractor's performance of this Contract. In any such action brought against the State, the Contractor shall satisfy and indemnify the State for the amount of any final judgment for infringement. The Contractor further agrees it shall be liable for the reasonable fees of attorneys for the State in the event such service is necessitated to enforce the terms of this Contract or otherwise enforce the obligations of the Contractor to the State. The State shall give the Contractor written notice of any such claim or suit and full right and opportunity to conduct the Contractor's own defense thereof.

E.10. Debarment and Suspension. The Contractor certifies, to the best of its knowledge and belief, that it, its current and future principals, its current and future subcontractors and their principals:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal or state department or agency;
- b. have not within a three (3) year period preceding this Contract been convicted of, or had a civil judgment rendered against them from commission of fraud, or a criminal offence in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or grant under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;
- c. are not presently indicted or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses detailed in section b. of this certification; and
- d. have not within a three (3) year period preceding this Contract had one or more public transactions (federal, state, or local) terminated for cause or default.

The Contractor shall provide immediate written notice to the State if at any time it learns that there was an earlier failure to disclose information or that due to changed circumstances, its principals or the principals of its subcontractors are excluded or disqualified.

E.11. Limitation of Liability. The parties agree that the Contractor's liability under this Contract shall be limited to an amount equal to two (2) times the Maximum Liability amount detailed in Section C.1. and as may be amended, PROVIDED THAT in no event shall this section limit the liability of the Contractor for intentional torts, criminal acts, or fraudulent conduct.

IN WITNESS WHEREOF,

XEROX STATE AND LOCAL SOLUTIONS:

CONTRACTOR SIGNATURE

DATE

PRINTED NAME AND TITLE OF CONTRACTOR SIGNATORY (above)

DEPARTMENT OF REVENUE:

RICHARD H. ROBERTS, COMMISSIONER

DATE

ATTESTATION RE PERSONNEL USED IN CONTRACT PERFORMANCE

SUBJECT CONTRACT NUMBER:	
CONTRACTOR LEGAL ENTITY NAME:	
FEDERAL EMPLOYER IDENTIFICATION NUMBER: (or Social Security Number)	

The Contractor, identified above, does hereby attest, certify, warrant, and assure that the Contractor shall not knowingly utilize the services of an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract.

CONTRACTOR SIGNATURE

NOTICE: This attestation MUST be signed by an individual empowered to contractually bind the Contractor. If said individual is not the chief executive or president, this document shall attach evidence showing the individual's authority to contractually bind the Contractor.

PRINTED NAME AND TITLE OF SIGNATORY

DATE OF ATTESTATION

Attachment # 1



Xerox State & Local Solutions, Inc. Software Design, Approval, and Cost Estimate Form

November 20, 2012

Project Title / System Affected:	Tennessee CVIEW	Spec Create Date:	10/4/12
Client/Jurisdiction:	Tennessee	Authorized by:	Mark Hogan
Client Contact:	Sheila Rowen	Assigned to:	Teresa Brown
Prepared by:	Teresa Brown	Log Number:	125614
Development Approval by:	Mark Hogan	Development Approval Date:	9/26/12

Version Nbr.	Author	Modification Date	Description
1.0	Teresa Brown	09/26/12	Initial Evaluation -- added file layouts

Software Design Section

TN 125614

Tennessee has requested that Xerox provide the SAFER compliant CVIEW tables for the IRP and IFTA.

Tennessee will be sending Xerox the SFTP server location for the delivery of the files. We have inserted our current .XML T0019, T0020, T0021 and T0022 file layouts below.

A nightly job will be scheduled each evening to transfer the CVIEW tables to Tennessee. No real-time updates are required at this time.

Xerox will modify the following processes to activate the CVIEW/SAFER triggers for Tennessee. Updates in the following areas will create a trigger that the nightly CVIEW process will run.

- Carrier data screen
- Vehicle data screen
- Vehicle prompt screen
- Credential screen
- Delete vehicle process
- Delete Acc/Flt/Sup process
- Replacement process

SAFER T0019_1

Name	Null?	Type
IFTA_CARRIER_ID_NUMBER		VARCHAR2 (12)
IFTA_BASE_COUNTRY	NOT NULL	VARCHAR2 (2)
IFTA_BASE_STATE	NOT NULL	VARCHAR2 (2)
IFTA_LICENSE_NUMBER	NOT NULL	VARCHAR2 (18)
IFTA_STATUS_CODE	NOT NULL	VARCHAR2 (3)
IFTA_STATUS_DATE	NOT NULL	DATE
IFTA_ISSUE_DATE		DATE
IFTA_EXPIRE_DATE		DATE
IFTA_UPDATE_DATE	NOT NULL	DATE
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0019_2

Name	Null?	Type
IFTA_LICENSE_NUMBER	NOT NULL	VARCHAR2 (18)
NAME_TYPE	NOT NULL	VARCHAR2 (2)
NAME	NOT NULL	VARCHAR2 (120)
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0019_3

Name	Null?	Type
IFTA_LICENSE_NUMBER	NOT NULL	VARCHAR2 (18)
ADDRESS_TYPE	NOT NULL	VARCHAR2 (2)
STREET_LINE_1		VARCHAR2 (90)
STREET_LINE_2		VARCHAR2 (90)
PO_BOX		VARCHAR2 (90)
CITY	NOT NULL	VARCHAR2 (90)
STATE	NOT NULL	VARCHAR2 (2)
ZIP_CODE	NOT NULL	VARCHAR2 (10)
COUNTY		VARCHAR2 (90)
COLONIA		VARCHAR2 (90)
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0020_1

Name	Null?	Type
IRP_CARRIER_ID_NUMBER		VARCHAR2 (12)
IRP_BASE_COUNTRY	NOT NULL	VARCHAR2 (2)
IRP_BASE_STATE	NOT NULL	VARCHAR2 (2)
IRP_ACCOUNT_NUMBER	NOT NULL	VARCHAR2 (32)
IRP_ACCOUNT_TYPE	NOT NULL	VARCHAR2 (1)
IRP_STATUS_CODE	NOT NULL	VARCHAR2 (3)
IRP_STATUS_DATE	NOT NULL	DATE
IRP_UPDATE_DATE	NOT NULL	DATE
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0020_2

Name	Null?	Type
IRP_CARRIER_ID_NUMBER		VARCHAR2 (12)
NAME_TYPE	NOT NULL	VARCHAR2 (2)
NAME	NOT NULL	VARCHAR2 (120)

PROCESS_IND	NOT NULL VARCHAR2 (1)
LAST_UPDATE	NOT NULL DATE
LAST_USER_ID	NOT NULL VARCHAR2 (20)
IRP_ACCOUNT_NUMBER	NOT NULL VARCHAR2 (32)

SAFER T0020_3

Name	Null?	Type
IRP_CARRIER_ID_NUMBER		VARCHAR2 (12)
ADDRESS_TYPE	NOT NULL	VARCHAR2 (2)
STREET_LINE_1		VARCHAR2 (90)
STREET_LINE_2		VARCHAR2 (90)
PO_BOX		VARCHAR2 (90)
CITY	NOT NULL	VARCHAR2 (90)
STATE	NOT NULL	VARCHAR2 (2)
ZIP_CODE	NOT NULL	VARCHAR2 (10)
COUNTY		VARCHAR2 (90)
COLONIA		VARCHAR2 (90)
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)
IRP_ACCOUNT_NUMBER	NOT NULL	VARCHAR2 (32)

SAFER T0021_1

Name	Null?	Type
IRP_ACCOUNT_NUMBER	NOT NULL	VARCHAR2 (32)
IRP_BASE_COUNTRY	NOT NULL	VARCHAR2 (2)
IRP_BASE_STATE	NOT NULL	VARCHAR2 (2)
FLEET_NUMBER	NOT NULL	VARCHAR2 (15)
FLEET_STATUS_CODE	NOT NULL	VARCHAR2 (3)
FLEET_STATUS_DATE	NOT NULL	DATE
FLEET_EXPIRE_DATE	NOT NULL	DATE
FLEET_UPDATE_DATE	NOT NULL	DATE
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0021_2

Name	Null?	Type
IRP_ACCOUNT_NUMBER	NOT NULL	VARCHAR2 (32)
FLEET_NUMBER	NOT NULL	VARCHAR2 (15)
NAME_TYPE	NOT NULL	VARCHAR2 (2)
NAME	NOT NULL	VARCHAR2 (120)
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0021_3

Name	Null?	Type
IRP_ACCOUNT_NUMBER	NOT NULL	VARCHAR2 (32)
FLEET_NUMBER	NOT NULL	VARCHAR2 (15)
ADDRESS_TYPE	NOT NULL	VARCHAR2 (2)
STREET_LINE_1		VARCHAR2 (90)
STREET_LINE_2		VARCHAR2 (90)
PO_BOX		VARCHAR2 (90)
CITY	NOT NULL	VARCHAR2 (90)

STATE	NOT NULL VARCHAR2 (2)
ZIP_CODE	NOT NULL VARCHAR2 (10)
COUNTY	VARCHAR2 (90)
COLONIA	VARCHAR2 (90)
PROCESS_IND	NOT NULL VARCHAR2 (1)
LAST_UPDATE	NOT NULL DATE
LAST_USER_ID	NOT NULL VARCHAR2 (20)

SAFER T0022_1

Name	Null?	Type
VIN	NOT NULL	VARCHAR2 (30)
TITLE_NUMBER		VARCHAR2 (17)
TITLE_JURISDICTION		VARCHAR2 (4)
OWNER_NAME		VARCHAR2 (55)
MODEL_YEAR		VARCHAR2 (4)
MAKE		VARCHAR2 (10)
TYPE		VARCHAR2 (2)
MODEL		VARCHAR2 (3)
FUEL		VARCHAR2 (1)
UNLADEN_WEIGHT		NUMBER (8)
NUMBER_OF_AXLES		NUMBER (2)
LICENSE_PLATE_NUMBER	NOT NULL	VARCHAR2 (12)
IRP_BASE_COUNTRY	NOT NULL	VARCHAR2 (2)
IRP_BASE_STATE	NOT NULL	VARCHAR2 (2)
UNIT_NUMBER		VARCHAR2 (20)
LAST_UPDATE_DATE	NOT NULL	DATE
INTERSTATE_FLAG	NOT NULL	VARCHAR2 (1)
IRP_STATUS_CODE	NOT NULL	VARCHAR2 (3)
IRP_STATUS_DATE	NOT NULL	DATE
IRP_ACCOUNT_NUMBER		VARCHAR2 (32)
IRP_FLEET_NUMBER		VARCHAR2 (15)
REGISTRATION_START_DATE		DATE
REGISTRATION_EXPIRE_DATE		DATE
OPERATOR_NAME		VARCHAR2 (55)
SAFETY_CARRIER		VARCHAR2 (12)
IRP_CARRIER_ID_NUMBER		VARCHAR2 (12)
IFTA_LICENSE_NUMBER		VARCHAR2 (18)
GVW		NUMBER (8)
GVW_EXPIRE_DATE		DATE
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)
SENDING_STATE		VARCHAR2 (2)
VERIFICATION_SOURCE		VARCHAR2 (10)
VERIFICATION_DATE		DATE

SAFER T0022_2

Name	Null?	Type
VIN	NOT NULL	VARCHAR2 (30)
IRP_JURISDICTION	NOT NULL	VARCHAR2 (4)
IRP_WEIGHT_CARRIED	NOT NULL	VARCHAR2 (8)
IRP_WEIGHT_EXPIRE_DATE	NOT NULL	DATE
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

Detailed Cost Breakdown Section

Task	Staffing Category	Est Hrs	Rate	Total
Requirements Definition	Client Analyst		\$101.25	
Functional Design	Client Analyst		\$101.25	
Detail Design	Senior Programmer Analyst		\$101.25	
Software Development/Unit Testing	Senior Programmer Analyst	64	\$101.25	\$6,480.00
Project Analysis/Review	Systems Analyst		\$101.25	
Quality Assurance Testing	Client Analyst	16	\$101.25	\$1,620.00
Documentation	Client Analyst		\$101.25	
Installation/Implementation	Senior Technical Specialist	2	\$101.25	\$202.50
Total Cost of Delivery		82		\$8,302.50

Software Design and Cost Estimate Approval Section

This is a billable enhancement. The estimated price is:	\$8,302.50
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We have reviewed the specifications for the above described project task and determined that it successfully describes the desired modifications or enhancements. We agree to the cost estimate. If any changes are made to the specification document after it has been signed, the specification and associated cost estimate (if billable) will be considered null and void. Xerox will provide a new specification and cost estimate based upon the additional requirements. This cost estimate is valid for only 30 days from the date of this letter. The issue will be closed if you have not responded within this time frame.

If any changes are made to a non billable specification document after it has been signed, you will be billed for the additional work effort. Xerox will provide you with a new specification and cost estimate based upon the additional and/or modified requirements.

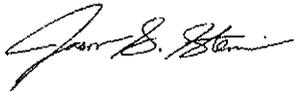
Payment for all work under this enhancement will be due upon final client acceptance which is determined by the turnover of software to the client's production environment. If the production turnover is delayed due to no fault of Xerox, 90% of the enhancement total amount due will be payable immediately to Xerox. A production turnover will then be scheduled at the discretion of Xerox, and the remaining 10% will be due once the turnover has been successfully completed and verified.

Jurisdiction Signature:

Title:

Date:

Xerox Signature:



Title: Vice President & Managing Director

Date: 11/20/2012

ATTACHMENT NUMBER 2

TN Suggested Solutions for Data in load and out load from Audit Software and Mainframe Software

TAB or
Comma-delimited (PC) format file

IFTA Audit Download – File Layout

Header Record					
<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'H'
2	File ID	Char	6		'AUDIFT'
3	File Date	Date	10		MM/DD/YYYY (<i>slashes required</i>)
4	Batch Number	Char	8		YYMMDDHH
5	Jur Code	Char	2		'TN'

Return Summary

<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'R'
2	Transaction Type	Char	1		'A'
3	Taxpayer ID	Char	15		
4	Period ID	Char	5		QYYYY
5	Date Received	Date	10		MM/DD/YYYY <i>(slashes required)</i> <i>MUST HAVE VALUE: when no original return, insert date of audited data entry</i>
6	Remit Amt	Num	10	2	amount of payment enclosed with return
7	Diesel Amt	Num	10	2	
8	Gas Amt	Num	10	2	
9	Ethanol Amt	Num	10	2	
10	Propane Amt	Num	10	2	
11	Alternate Fuel Amt	Num	10	2	
12	Subtotal Amount Due	Num	10	2	subtotal of fuel amounts above
13	Credit Requested	Num	10	2	
14	Total Balance Due	Num	10	2	
15	Penalties	Num	10	2	
16	Amt Due Overpaid	Num	10	2	
17	Refund Amt	Num	10	2	amount to be refunded
18	Credit Forward	Num	10	2	
19	Credit type	Char	1		

Return Summary

20	Audit Interest Accrual Date	Date	10		MM/DD/YYYY (<i>slashes required</i>)
----	--------------------------------	------	----	--	--

Fuel Summary

<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'R'
2	Transaction Type	Char	1		'B'
3	Taxpayer ID	Char	15		
4	Fuel Type	Char	1		'D' (diesel), 'G' (gasoline), 'E' (ethanol), 'P' (propane), 'C' (CNG), 'A' (A-55), 'B' (E-85), 'F' (M-85), 'H' (gasohol), 'L' (LNG) or 'M' (methanol)
5	Period ID	Char	5		QYYYY
6	Date Received	Date	10		MM/DD/YYYY (<i>slashes required</i>)
7	Total IFTA Miles	Num	9		
8	Total Non-IFTA Miles	Num	9		
9	Total Miles	Num	10		
10	Total Gallons	Num	10		
11	Fleet MPG	Num	5	2	
12	Total Amt Due	Num	8	2	

Schedule Detail

<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'R'
2	Transaction Type	Char	1		'C'
3	Taxpayer ID	Char	15		
4	Fuel Type	Char	1		'D' (diesel), 'G' (gasoline), 'E' (ethanol), 'P' (propane), 'C' (CNG), 'A' (A-55), 'B' (E-85), 'F' (M-85), 'H' (gasohol), 'L' (LNG) or 'M' (methanol)
5	Period ID	Char	5		QYYYY
6	Date Received	Date	10		MM/DD/YYYY <i>(slashes required)</i>
7	Travel Jur Code	Char	2		
8	Tax Rate Code	Num	4		
9	Total IFTA Miles	Num	9		
10	Taxable Miles	Num	9		
11	MPG	Num	5	2	
12	Taxable Gallons	Num	10		
13	Tax-Paid Gallons	Num	10		
14	Net Taxable Gallons	Num	10		
15	Tax Rate	Num	6	4	
16	Tax Credit Due	Num	10	2	
17	Interest Due	Num	9	2	
18	Total Due	Num	10	2	

Trailer Record

<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'T'
2	Rtn Summary Count	Num	10		count of Return Summary records <i>for this Audit Case only</i>
3	Fuel Summary Count	Num	10		count of Fuel Summary records <i>for this Audit Case only</i>
4	Schedule Detail Count	Num	10		count of Schedule Detail records <i>for this Audit Case only</i>

No Return Filed		
Record Type	x(1)	'R'
Transaction Type	x(1)	'E'
Host Identifier	x(15)	'TN' + 'CM + FEDID
Host Jur	x(2)	'TN'
PeriodID	X(5)	QYYYY
Description	x(31)	'NO RETURN FOUND FOR THIS PERIOD

Taxpayer Information		
Record Type	x(1)	'R' Header Record
Transaction Type	x(1)	'D'
Host Jur	x(2)	'TN'
Host FEDID	x(11)	
Taxpayer Name	X(40)	
Taxpayer Address 1	x(40)	
Taxpayer Address 2	x(40)	
Taxpayer City	x(30)	
Taxpayer State	x(2)	
Taxpayer Zip	x(9)	
Taxpayer Country	x(2)	
Taxpayer Contact	X(35)	
Taxpayer Contact Phone	X(14)	
Taxpayer Fax	X(14)	
Taxpayer Email	X(60)	

IRP Audit Download – File Layout

TAB or Comma-delimited (PC) format file

Header Record					
<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'H'
2	File ID	Char	6		'AUDIRP'
3	File Date	Date	10		MM/DD/YYYY (<i>slashes required</i>)
4	Batch Number	Char	8		YYMMDDHH
5	Jur Code	Char	2		'TN'

Return Summary

<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'R'
2	Transaction Type	Char	1		'A'
3	Account ID	Num	6	0	
4	Period ID	Num	4		Year
5	Date Received	Date	10		MM/DD/YYYY (<i>slashes required</i>) <i>MUST HAVE VALUE: when no original return, insert date of audited data entry</i>
6	Fleet Number	Char	3		
7	Name of Registrant	Char	30		
8	Doing Business as name	Char	30		
9	Bus Address Line 1	Char	35		
10	Bus Address Line 2	Char	35		
11	Business City	Char	20		
12	Bus Postal Code	Char	9		
13	Name of Contact	Char	30		
14	Contact Phone Number	Char	14		
15	Renewal Month	Num	2	0	
16	Carrier Fleet Status	Char	3		

Return Summary

17	Carrier Renewal Code	Char	2		
18	Reg. Jurisdiction	Char	2		

Fees

<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'R'
2	Transaction Type	Char	1		'B'
3	Account ID	Num	6		
4	Registration Year	Char	6		YYYYMM
5	Fleet Number	Char	3		
6	Supplement Number	Char	3		
7	Registration Jurisdiction	Char	2		
8	Tot App Reg Fees	Num	11	2	99999999v99

Mileage					
<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'R'
2	Transaction Type	Char	1		'C'
3	Account ID	Num	6		
4	Registration Year	Num	4		
5	Fleet Number	Char	3		
6	Supplement Number	Char	3		
7	Registration Jurisdiction	Char	2		
8	Mileage Code	Char	2		A = Actual, E1, etc.
9	Reported Mileage	Num	9	2	
10	Apportioned Factor	Num	7	6	v999999

Vehicles					
<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'R'
2	Transaction Type	Char	1		'D'
3	Account ID	Num	6		
4	Registration Year	Num	4		

Vehicles					
5	Fleet Number	Char	3		
6	VIN	Char	21		
7	Base License Plate	Char	10		
8	Vehicle Model Year	Num	4	0	
9	Vehicle Make Code	Char	4		
10	Vehicle Type	Char	2		
11	Number of Axles	Num	3	0	
12	Fuel Type	Char	1		
13	Gross Combined Weight	Num	7	0	
14	Owners Name	Char	30		
15	Vehicle Add Date	Date	10		MM/DD/YYYY (<i>slashes required</i>)
16	Vehicle Delete Date	Date	10		MM/DD/YYYY (<i>slashes required</i>)
17	Vehicle Leased/Owned	Char	1		
18	Odometer	Num	6	0	
19	Unit number	Char	8		

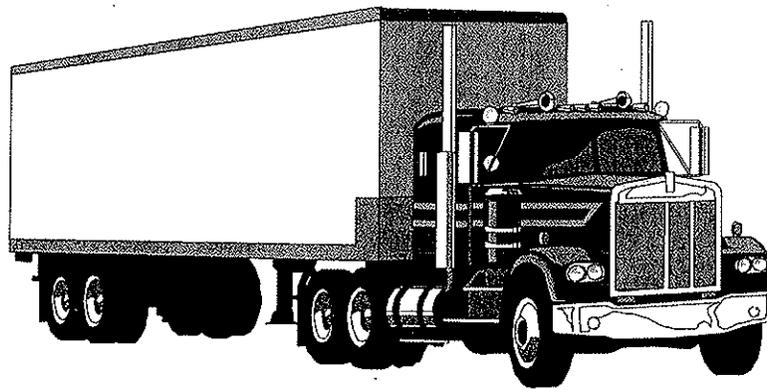
Vehicles					

Trailer Record

<u>Field #</u>	<u>Field Name</u>	<u>Type</u>	<u>Width (max)</u>	<u>Dec</u>	<u>Description</u>
1	Record Type	Char	1		'T'
2	A Summary Count	Num	10		count A records <i>for this Audit Case only</i>
3	B Summary Count	Num	10		count of B records <i>for this Audit Case only</i>
4	C Summary Count	Num	10		count of C records <i>for this Audit Case only</i>
4	D Summary Count	Num	10		count of D records <i>for this Audit Case only</i>

Attachment # 3

**Performance and Registration
Information Systems
Management
(PRISM)**



**IRP Cab Card and Bar Code
Specifications**

Version 3.4.1

October 31, 2008

U.S. Department of Transportation
Federal Motor Carrier Safety Administration
400 Seventh Street S. W.
Washington, D.C. 20590

Title: PRISM IRP Cab Card Bar Code Specifications		
Modification History since Version 3.3 Baseline issued July 16, 2007:	Effective Date	Rev. No.
Modified Section 1 Introduction to include statement on bar code readers	May 12, 2008	3.4
Added new Section 3.2.3 Registered Weight SubFile	May 12, 2008	3.4
Added Section 4.1 for Without Registered Weight SubFile	May 12, 2008	3.4
Added Section 4.2 for With Registered Weight SubFile	May 12, 2008	3.4
Deleted Appendix A – PRISM Approved Bar Code Readers	May 12, 2008	3.4
Modified Section 3.4 concerning language when the Carrier Responsible for Safety is expected to change	October 31, 2008	3.4.1

1. INTRODUCTION

This edition of this document supersedes all previous editions of IRP Cab Card Specifications and the PRISM Best Practices for Bar Code Structure and Usage.

The purpose of publishing Specifications is so that all PRISM States will produce a Cab Card with a PDF 417 Bar Code that contains, at a minimum, the same, basic format. The cab card can be read by scanners and can be used by law enforcement to reduce the handwriting required for vehicle inspections, citations, inspection reports and other documents.

Sections 7.1.2 and 7.5.2 of the PRISM Procedure Manual (May 2006 or later version) and Section 3.4 of this Specification should be consulted to determine the requirements for data to be printed on the Cab Card. Data contained in the bar code must match the data contained on the cab card.

Appendix A, PRISM Approved Bar Code Readers has been removed from this document. In the early stages of bar coding the Cab Card PRISM Technical Support received numerous questions concerning what bar code readers to buy to read the PRISM Cab Card Bar Code. Tech Support purchased several bar code readers before finding one that would satisfactorily read the PRISM Bar Code and work with ASPEN. Subsequently several other bar code readers were tested and found to satisfactorily read the PRISM Bar Code and work with ASPEN. We believe that there are numerous other bar code readers that also will work. Because of this and the fact that bar code readers are upgraded constantly we no longer can recommend specific bar code readers.

We recommend that when States purchase Bar Code Readers they clearly spell out in their Request for Proposals that the bar code reader must work with the hardware and software that the state is using and must be demonstrated before a contract will be awarded.

2. SCOPE

This document is applicable to all PRISM States when creating a bar code for their cab card.

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3. PRISM CAB CARD BAR CODE DESCRIPTION

3.1 Header

The Header will contain the following fields:

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
Header	Compliance Indicator	X (01)	0	0	@ sign indicates compliance with standards. (ASCII/ISO646 Decimal "64") (ASCII/ISO646 Hex "40")
	Data Element Separator	X (01)	1	1	The data element separator is the Line Feed Character (ASCII/ISO646 Decimal "10") (ASCII/ISO646 Hex "0A")
	Record Separator	X (01)	2	2	The record separator character (ASCII/ISO646 Decimal "28") (ASCII/ISO646 Hex "1C")
	Segment Terminator	X (01)	3	3	The segment terminator is the carriage return character (ASCII/ISO646 Decimal "13") (ASCII/ISO646 Hex "0D")
	File Type	X (05)	4	8	AAMVA
	Jurisdiction Code	X (06)	9	14	Received from AAMVA
	Version Number	X (02)	15	16	01
	Number of SubFile Entries	X (02)	17	18	02 or 03 if RW SubFile is used

Each State must retrieve their "**Jurisdiction Code**" from AAMVA.org/Standards/Current and Developing Standards/ISO Issuer Identification Numbers.

Each PRISM State must use the Version Number "01" to be in compliance with the Specifications.

The PRISM Cab Card Bar Code will consist of two Subfiles, the Motor Carrier (MC) Subfile and the Registrant (IR) Subfile. As an option, if a State chooses to include it, a Registered Weight SubFile may be used. If a PRISM State desires to have additional data elements above those defined in these Specifications, they must be placed in ZAA through ZZZ data elements which will not be defined in this Header. See Section 3.3 for ZAA through ZZZ data elements.

The location of where data elements begin for each Subfile and the total length of the Subfile must be contained in the “offsets” defined for each Subfile. PRISM States are reminded that while the data will fill many of the fields, several fields such as Name, Street Address, and City will frequently not fill the field. In those cases padding is not required, however, when the data contained within the body of the bar code is variable, the offset must be calculated for each bar code. Offsets must be calculated using relative **zero** positioning meaning that the first character position of the header is considered **0** (zero) not 1 (one).

3.2 Subfiles and Data Elements

3.2.1 Motor Carrier (MC) Subfile

The Motor Carrier (MC) Subfile is always required and must contain the following required data elements in the following order.

- The USDOT Number of the motor carrier responsible for safety.
- The Name of the motor carrier responsible for safety.
- The “mailing address” of the motor carrier responsible for safety including the “Street Address”, “City”, “Jurisdiction Code”, and “Postal/Zip Code”.
- If the motor carrier responsible for safety is expected to change during the registration period, the Motor Carrier (MC) SubFile, the data element separator, and the correct three character field identifier must be included, **however, no data field shall be included.**

Additional data element considerations:

- Each of the data elements in the Motor Carrier Subfile must contain a data element separator character, the correct three character field identifier, and the data field (except as stated above).
- The last field in the Motor Carrier Subfile must be a segment terminator character. The segment terminator character must be included in the SubFile length calculations.

3.2.2 Registrant (IR) Subfile

The Registrant (IR) Subfile must contain the following required data elements in the following order.

- The name of the Registrant.
- The “physical” address of the registrant including the “street address”, “city”, “jurisdiction”, and “postal/zip Code”.
- The unit number of the vehicle, if used by the jurisdiction.
- The vehicle identification number (VIN) of the vehicle.
- The model year of the vehicle.
- The vehicle make.
- The type of vehicle.
- The number of seats (for buses) or axles of the vehicle. **One** of these two values, but not both must be included in the bar code. Blank data in this field will not be accepted.
- The registration year for which IRP registration was issued
- The issue date of the IRP registration.
- The license plate number of the IRP registration.
- The decal number of the IRP registration, if decal numbers are captured by the jurisdiction.

- The enforcement date of IRP registration expiration. If the jurisdiction has a grace period, it should be applied to the IRP expiration date and entered in the data field, unless a different date or period is established by State legislation. Otherwise, the data field should equal the IRP expiration date.
- The IRP expiration date of the IRP registration.
- The gross vehicle weight of the vehicle.
- The base state registered weight of the vehicle.

Additional data element considerations:

- If a data element is not used by a PRISM State the data element must still be included.
- All dates will be in the CCYYMMDD format.
- Each of the data elements in the Registrant Subfile must contain a data element separator character, the correct three character field identifier and the data field. When the unit number or the registration decal is not used, no data field shall be included.
- The last field in the Registrant Subfile must be a segment terminator character. The segment terminator character must be included in the SubFile length calculations.

3.2.3 Registered Weight (RW) SubFile

The Registered Weight SubFile (RW) will contain those Registered Weights as shown on the Cab Card for the vehicle described in the Registrant (IR) SubFile. The Registered Weight SubFile must contain the following data elements in the following order.

- A Data Element Separator
- The Bar Code Identifier containing the three character abbreviation for the jurisdiction.
- The Weight of the Vehicle in pounds for U.S. Jurisdictions, Kilograms for Canadian Jurisdictions, except for Quebec which will be the number of axles.

The Registered Weight SubFile (RW) should contain only those states/provinces that a vehicle is registered in. For example if a vehicle is registered for Iowa, Nebraska, and South Dakota only those data element groupings will be shown.

3.3. ZAA-ZZZ Data Elements

If additional data elements are desired by any PRISM States they will be properly defined as ZAA-ZZZ data elements. As shown in the MC and IR SubFiles, each data element should begin with a data element separator, the field identifier and three character code, followed by the data.

ZAA-ZZZ data elements should be placed after the Segment Terminator for the IR SubFile or after the Segment Terminator for the RW SubFile if it is being used. The ZAA-ZZZ data elements will not be analyzed by PRISM personnel and should be defined strictly according to specifications prepared by the State.

3.4 Certification of PRISM Cab Card and Bar Code

PRISM States are required to have their cab card and bar code certified to ensure that it complies with all requirements of the PRISM Cab Card and Bar Code Specifications. In order to receive the initial certification, each PRISM State should email three cab cards in the PDF format to PRISMTechnicalSupport@dot.gov for initial certification and annually thereafter for re-certification.

1. The registrant and the carrier responsible for safety are the same and the carrier responsible for safety *is not* expected to change during the period of registration.
 - The MC Subfile is required and will contain data for the carrier responsible for safety.
 - The IR Subfile is required and will contain registrant and vehicle data.
 - The RW SubFile is optional but if a state chooses to use it, the RW SubFile must be included.
2. The registrant and the carrier responsible for safety are not the same and the carrier responsible for safety *is not* expected to change during the registration period.
 - The MC Subfile is required and will contain data for the carrier responsible for safety.
 - The IR Subfile is required and will contain registrant and vehicle data.
 - The RW SubFile is optional but if a state chooses to use it, the RW SubFile must be included.
3. The registrant and the carrier responsible for safety are not the same and the carrier responsible for safety *is* expected to change during the registration period.
 - The MC Subfile, the data element separator, the correct three character field identifier must be included, however, no data field shall be included.
 - The IR Subfile is required and will contain registrant and vehicle data.
 - The RW SubFile is optional but if a state chooses to use it, the RW SubFile must be included.

Once the cab card and bar code is initially certified and the programs are placed in production, PRISM States must on an annual basis, email three cab cards from their production system, containing the same data as outlined above for final certification. This step is necessary to ensure that the production version of cab cards and bar codes are the same as approved prior to production.

PRISM States must create their IRP Cab Cards to ensure that:

- The Taxpayer Identification Number (TIN) is not printed on the cab card.
- The Registrant data on the cab card is clearly identified.
- The Registrant's USDOT Number is not printed on the cab card.
- The Carrier Responsible for Safety data on the cab card is clearly identified and contains:
 - Carrier USDOT Number
 - Carrier Name
 - Carrier Mailing Address
- The Carrier Responsible for Safety data is only printed on the cab card when the Carrier Responsible for Safety is not expected to change during the registration period.
- If the Carrier Responsible for Safety is expected to change during the registration period, the message: "The Carrier Responsible for Safety is expected to change during the registration period" must be printed in the area allotted to the Carrier Responsible for Safety data. (this change is optional until January 1, 2010 when it is required).

4. PRISM Cab Card Bar Code Format

4.1 Without Registered Weight SubFile

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
Header	Compliance Indicator	X (01)	0	0	@ sign indicates compliance with standards. (ASCII/ISO646 Decimal "64") (ASCII/ISO646 Hex "40")
	Data Element Separator	X (01)	1	1	The data element separator is the Line Feed Character (ASCII/ISO646 Decimal "10") (ASCII/ISO646 Hex "0A")
	Record Separator	X (01)	2	2	The record separator character (ASCII/ISO646 Decimal "28") (ASCII/ISO646 Hex "1C")
	Segment Terminator	X (01)	3	3	The segment terminator is the carriage return character (ASCII/ISO646 Decimal "13") (ASCII/ISO646 Hex "0D")
	File Type	X (05)	4	8	AAMVA
	Jurisdiction Code	X (06)	9	14	Received from AAMVA
	Version Number	X (02)	15	16	01
	Number of SubFile Entries	X (02)	17	18	02
Motor Carrier	MC SubFile Designator				
	SubFile Type (MC)	X (02)	19	20	
	Subfile Offset	X (04)	21	24	
	Subfile Length	X (04)	25	28	
Registrant	IR Subfile Designator				
	SubFile Type (IR)	X (02)	29	30	
	Subfile Offset	X (04)	31	34	
	Subfile Length	X (04)	35	38	

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
Motor Carrier	Motor Carrier Data				
	SubFile Type (MC)	X (02)	39	40	
	Data Element Separator	X (01)			
	Bar Code Identifier (MAN)	X (03)			
	US DOT Number of the carrier responsible for safety	X (12)			
	Data Element Separator	X (01)			
	Bar Code Identifier (MAA)	X (03)			
	Name of the carrier responsible for safety	X (35)			
	Data Element Separator	X (01)			
	Bar Code Identifier (MAK)	X (03)			
	Mailing Address, Street 1	X (35)			
	Data Element Separator	X (01)			
	Bar Code Identifier (MAL)	X (03)			
	Mailing Address, City	X (20)			
	Data Element Separator	X (01)			
	Bar Code Identifier (MAI)	X (03)			
Mailing Address, Jurisdiction	X (02)				
Data Element Separator	X (01)				
Bar Code Identifier (MAO)	X (03)				
Mailing Address, Postal/Zip Code	X (11)				
Segment Terminator	X (01)				
Registrant	Registrant Data				
	Subfile Type (IR)	X (02)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RBC)	X (03)			
	Registrant Name	X (35)			
Data Element Separator	X (01)				
Bar Code Identifier (RBI)	X (03)				
Physical Address, Street 1	X (35)				

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
Registrant (IR)	Data Element Separator	X (01)			
	Bar Code Identifier (RBK)	X (03)			
	Physical Address, City	X (20)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RBL)	X (03)			
	Physical Address, Jurisdiction	X (02)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RBM)	X (03)			
	Physical Address, Postal/Zip Code	X (11)			
	Registrant (IR) Vehicle Data				
	Data Element Separator	X (01)			
	Bar Code Identifier (IEG)	X (03)			
	Unit Number	X (09)			
	Data Element Separator	X (01)			
	Bar Code Identifier (VAD)	X (03)			
	Vehicle Identification Number (VIN)	X (17)			
	Data Element Separator	X (01)			
	Bar Code Identifier (VAL)	X (03)			
	Vehicle Model Year – Format=YY	X (02)			
	Data Element Separator	X (01)			
Bar Code Identifier (VAK)	X (03)				
Vehicle Make	X (04)				
Data Element Separator	X (01)				
Bar Code Identifier (VBB)	X (03)				
Vehicle Type	X (02)				
Data Element Separator	X (01)				
Bar Code Identifier (RAP/VBC)	X (03)				
Number of Seats/Axles	X (02)				

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
	Data Element Separator	X (01)			
	Bar Code Identifier (RBT)	X (03)			
	Registration Year – Format CCYY	X (04)			
	Data Element Separator	X (01)			
	Bar Code Identifier (IFJ)	X (03)			
	IRP Registration Issue Date – Format=CCYYMMDD	X (08)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RAM)	X (03)			
	IRP License Plate Number	X (09)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RAD)	X (03)			
	IRP Registration Plate Decal	X (10)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RAF)	X (03)			
	Enforcement Date – Format=CCYYMMDD	X (08)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RAG)	X (03)			
	IRP Registration Expiration Date – Format=CCYYMMDD	X (08)			
	Data Element Separator	X (01)			
	Bar Code Identifier (VAT)	X (03)			
	Gross Vehicle Weight	X (09)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RAU)	X (03)			
	Base State Registered Weight	X (09)			
	Segment Terminator	X (01)			

4.2 With Registered Weight SubFile

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
Header	Compliance Indicator	X (01)	0	0	@ sign indicates compliance with standards. (ASCII/ISO646 Decimal "64") (ASCII/ISO646 Hex "40")
	Data Element Separator	X (01)	1	1	The data element separator is the Line Feed Character (ASCII/ISO646 Decimal "10") (ASCII/ISO646 Hex "0A")
	Record Separator	X (01)	2	2	The record separator character (ASCII/ISO646 Decimal "28") (ASCII/ISO646 Hex "1C")
	Segment Terminator	X (01)	3	3	The segment terminator is the carriage return character (ASCII/ISO646 Decimal "13") (ASCII/ISO646 Hex "0D")
	File Type	X (05)	4	8	AAMVA
	Jurisdiction Code	X (06)	9	14	Received from AAMVA
	Version Number	X (02)	15	16	01
	Number of SubFile Entries	X (02)	17	18	03
Motor Carrier	MC SubFile Designator				
	SubFile Type (MC)	X (02)	19	20	
	Subfile Offset	X (04)	21	24	
	Subfile Length	X (04)	25	28	
Registrant	IR Subfile Designator				
	SubFile Type (IR)	X (02)	29	30	
	Subfile Offset	X (04)	31	34	
	Subfile Length	X (04)	35	38	
Registered Weight	RW SubFile Designator				
	SubFile Type (RW)	X(02)	39	40	
	SubFile Offset	X(04)	41	44	
	SubFile Length	X(04)	45	48	

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
Motor Carrier	Motor Carrier Data				
	SubFile Type (MC)	X (02)	49	50	
	Data Element Separator	X (01)			
	Bar Code Identifier (MAN)	X (03)			
	US DOT Number of the carrier responsible for safety	X (12)			
	Data Element Separator	X (01)			
	Bar Code Identifier (MAA)	X (03)			
	Name of the carrier responsible for safety	X (35)			
	Data Element Separator	X (01)			
	Bar Code Identifier (MAK)	X (03)			
	Mailing Address, Street 1	X (35)			
	Data Element Separator	X (01)			
	Bar Code Identifier (MAL)	X (03)			
	Mailing Address, City	X (20)			
	Data Element Separator	X (01)			
	Bar Code Identifier (MAI)	X (03)			
Mailing Address, Jurisdiction	X (02)				
Data Element Separator	X (01)				
Bar Code Identifier (MAO)	X (03)				
Mailing Address, Postal/Zip Code	X (11)				
Segment Terminator	X (01)				
Registrant	Registrant Data				
	Subfile Type (IR)	X (02)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RBC)	X (03)			
	Registrant Name	X (35)			
Data Element Separator	X (01)				
Bar Code Identifier (RBI)	X (03)				
Physical Address, Street 1	X (35)				

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
Registrant (IR)	Data Element Separator	X (01)			
	Bar Code Identifier (RBK)	X (03)			
	Physical Address, City	X (20)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RBL)	X (03)			
	Physical Address, Jurisdiction	X (02)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RBM)	X (03)			
	Physical Address, Postal/Zip Code	X (11)			
	Registrant (IR) Vehicle Data				
	Data Element Separator	X (01)			
	Bar Code Identifier (IEG)	X (03)			
	Unit Number	X (09)			
	Data Element Separator	X (01)			
	Bar Code Identifier (VAD)	X (03)			
	Vehicle Identification Number (VIN)	X (17)			
	Data Element Separator	X (01)			
	Bar Code Identifier (VAL)	X (03)			
	Vehicle Model Year – Format=YY	X (02)			
	Data Element Separator	X (01)			
	Bar Code Identifier (VAK)	X (03)			
Vehicle Make	X (04)				
Data Element Separator	X (01)				
Bar Code Identifier (VBB)	X (03)				
Vehicle Type	X (02)				
Data Element Separator	X (01)				
Bar Code Identifier (RAP/VBC)	X (03)				
Number of Seats/Axles	X (02)				

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
	Data Element Separator	X (01)			
	Bar Code Identifier (RBT)	X (03)			
	Registration Year – Format CCYY	X (04)			
	Data Element Separator	X (01)			
	Bar Code Identifier (IFJ)	X (03)			
	IRP Registration Issue Date – Format=CCYYMMDD	X (08)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RAM)	X (03)			
	IRP License Plate Number	X (09)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RAD)	X (03)			
	IRP Registration Plate Decal	X (10)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RAF)	X (03)			
	Enforcement Date – Format=CCYYMMDD	X (08)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RAG)	X (03)			
	IRP Registration Expiration Date – Format=CCYYMMDD	X (08)			
	Data Element Separator	X (01)			
	Bar Code Identifier (VAT)	X (03)			
	Gross Vehicle Weight	X (09)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RAU)	X (03)			
	Base State Registered Weight	X (09)			
	Segment Terminator	X (01)			

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
Registered Weight	Registered Weight Data Subfile Type (RW)	X(02)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WAB)	X (03)			
	Alberta Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WAL)	X (03)			
	Alabama Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WAR)	X (03)			
	Arkansas Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WAZ)	X (03)			
	Arizona Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WBC)	X (03)			
	British Columbia Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WCA)	X (03)			
	California Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WCO)	X (03)			
	Colorado Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WCT)	X (03)			
Connecticut Registered Weight	X (06)				

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
	Data Element Separator	X (01)			
	Bar Code Identifier (WDC)	X (03)			
	District of Columbia Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WDE)	X (03)			
	Delaware Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WFL)	X (03)			
	Florida Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WGA)	X (03)			
	Georgia Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WIA)	X (03)			
	Iowa Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WID)	X (03)			
	Idaho Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WIL)	X (03)			
	Illinois Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WIN)	X (03)			
	Indiana Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WKS)	X (03)			
	Kansas Registered Weight	X (06)			

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
	Data Element Separator	X (01)			
	Bar Code Identifier (WKY)	X (03)			
	Kentucky Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WLA)	X (03)			
)Louisiana Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WMA)	X (03)			
	Massachusetts Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WMB)	X (03)			
	Manitoba Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WMD)	X (03)			
	Maryland Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WME)	X (03)			
	Maine Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WMI)	X (03)			
	Michigan Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WMN)	X (03)			
	Minnesota Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WMO)	X (03)			
	Missouri Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WMS)	X (03)			
	Mississippi Registered Weight	X (06)			

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
	Data Element Separator	X (01)			
	Bar Code Identifier (WMT)	X (03)			
)Montana Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WNB)	X (03)			
	New Brunswick Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WNC)	X (03)			
	North Carolina Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WND)	X (03)			
	North Dakota Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WNE)	X (03)			
	Nebraska Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WNF)	X (03)			
	Newfoundland Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WNH)	X (03)			
	New Hampshire Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WNJ)	X (03)			
	New Jersey Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WNM)	X (03)			
	New Mexico Registered Weight	X (06)			

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
	Data Element Separator	X (01)			
	Bar Code Identifier (WNS)	X (03)			
	Nova Scotia Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WNV)	X (03)			
	Nevada Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WNY)	X (03)			
	New York Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WOH)	X (03)			
	Ohio Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WOK)	X (03)			
	Oklahoma Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WON)	X (03)			
	Ontario Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WOR)	X (03)			
	Oregon Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WPA)	X (03)			
	Pennsylvania Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WPE)	X (03)			
	Prince Edward Island Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WQC)	X (03)			
	Quebec (Number of Axles)	X (06)			

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
	Data Element Separator	X (01)			
	Bar Code Identifier (WRI)	X (03)			
	Rhode Island Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WSC)	X (03)			
	South Carolina Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RSD)	X (03)			
	South Dakota Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RSK)	X (03)			
	Saskatchewan Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (RTN)	X (03)			
	Tennessee Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WTX)	X (03)			
	Texas Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WUT)	X (03)			
	Utah Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WVA)	X (03)			
	Virginia Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WVT)	X (03)			
	Vermont Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WWA)	X (03)			
	Washington Registered Weight	X (06)			

Component	Field Identifier & Description	Picture	Picture		Comments
			From	To	
	Data Element Separator	X (01)			
	Bar Code Identifier (WWI)	X (03)			
	Wisconsin Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WWV)	X (03)			
	West Virginia Registered Weight	X (06)			
	Data Element Separator	X (01)			
	Bar Code Identifier (WWY)	X (03)			
	Wyoming Registered Weight	X (06)			
	Segment Terminator	X (01)			

Attachment #4



Xerox State & Local Solutions, Inc. Software Design, Approval, and Cost Estimate Form

November 20, 2012

Project Title / System Affected:	Tennessee CVIEW	Spec Create Date:	10/4/12
Client/Jurisdiction:	Tennessee	Authorized by:	Mark Hogan
Client Contact:	Sheila Rowen	Assigned to:	Teresa Brown
Prepared by:	Teresa Brown	Log Number:	125614
Development Approval by:	Mark Hogan	Development Approval Date:	9/26/12

Version Nbr.	Author	Modification Date	Description
1.0	Teresa Brown	09/26/12	Initial Evaluation – added file layouts

Software Design Section

TN 125614

Tennessee has requested that Xerox provide the SAFER compliant CVIEW tables for the IRP and IFTA.

Tennessee will be sending Xerox the SFTP server location for the delivery of the files. We have inserted our current .XML T0019, T0020, T0021 and T0022 file layouts below.

A nightly job will be scheduled each evening to transfer the CVIEW tables to Tennessee. No real-time updates are required at this time.

Xerox will modify the following processes to activate the CVIEW/SAFER triggers for Tennessee. Updates in the following areas will create a trigger that the nightly CVIEW process will run.

- Carrier data screen
- Vehicle data screen
- Vehicle prompt screen
- Credential screen
- Delete vehicle process
- Delete Acc/Flt/Sup process
- Replacement process

SAFER T0019_1

Name	Null?	Type
IFTA_CARRIER_ID_NUMBER		VARCHAR2 (12)
IFTA_BASE_COUNTRY	NOT NULL	VARCHAR2 (2)
IFTA_BASE_STATE	NOT NULL	VARCHAR2 (2)
IFTA_LICENSE_NUMBER	NOT NULL	VARCHAR2 (18)
IFTA_STATUS_CODE	NOT NULL	VARCHAR2 (3)
IFTA_STATUS_DATE	NOT NULL	DATE
IFTA_ISSUE_DATE		DATE
IFTA_EXPIRE_DATE		DATE
IFTA_UPDATE_DATE	NOT NULL	DATE
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0019_2

Name	Null?	Type
IFTA_LICENSE_NUMBER	NOT NULL	VARCHAR2 (18)
NAME_TYPE	NOT NULL	VARCHAR2 (2)
NAME	NOT NULL	VARCHAR2 (120)
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0019_3

Name	Null?	Type
IFTA_LICENSE_NUMBER	NOT NULL	VARCHAR2 (18)
ADDRESS_TYPE	NOT NULL	VARCHAR2 (2)
STREET_LINE_1		VARCHAR2 (90)
STREET_LINE_2		VARCHAR2 (90)
PO_BOX		VARCHAR2 (90)
CITY	NOT NULL	VARCHAR2 (90)
STATE	NOT NULL	VARCHAR2 (2)
ZIP_CODE	NOT NULL	VARCHAR2 (10)
COUNTY		VARCHAR2 (90)
COLONIA		VARCHAR2 (90)
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0020_1

Name	Null?	Type
IRP_CARRIER_ID_NUMBER		VARCHAR2 (12)
IRP_BASE_COUNTRY	NOT NULL	VARCHAR2 (2)
IRP_BASE_STATE	NOT NULL	VARCHAR2 (2)
IRP_ACCOUNT_NUMBER	NOT NULL	VARCHAR2 (32)
IRP_ACCOUNT_TYPE	NOT NULL	VARCHAR2 (1)
IRP_STATUS_CODE	NOT NULL	VARCHAR2 (3)
IRP_STATUS_DATE	NOT NULL	DATE
IRP_UPDATE_DATE	NOT NULL	DATE
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0020_2

Name	Null?	Type
IRP_CARRIER_ID_NUMBER		VARCHAR2 (12)
NAME_TYPE	NOT NULL	VARCHAR2 (2)
NAME	NOT NULL	VARCHAR2 (120)

PROCESS_IND	NOT NULL VARCHAR2 (1)
LAST_UPDATE	NOT NULL DATE
LAST_USER_ID	NOT NULL VARCHAR2 (20)
IRP_ACCOUNT_NUMBER	NOT NULL VARCHAR2 (32)

SAFER T0020_3

Name	Null?	Type
IRP_CARRIER_ID_NUMBER		VARCHAR2 (12)
ADDRESS_TYPE	NOT NULL	VARCHAR2 (2)
STREET_LINE_1		VARCHAR2 (90)
STREET_LINE_2		VARCHAR2 (90)
PO_BOX		VARCHAR2 (90)
CITY	NOT NULL	VARCHAR2 (90)
STATE	NOT NULL	VARCHAR2 (2)
ZIP_CODE	NOT NULL	VARCHAR2 (10)
COUNTY		VARCHAR2 (90)
COLONIA		VARCHAR2 (90)
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)
IRP_ACCOUNT_NUMBER	NOT NULL	VARCHAR2 (32)

SAFER T0021_1

Name	Null?	Type
IRP_ACCOUNT_NUMBER	NOT NULL	VARCHAR2 (32)
IRP_BASE_COUNTRY	NOT NULL	VARCHAR2 (2)
IRP_BASE_STATE	NOT NULL	VARCHAR2 (2)
FLEET_NUMBER	NOT NULL	VARCHAR2 (15)
FLEET_STATUS_CODE	NOT NULL	VARCHAR2 (3)
FLEET_STATUS_DATE	NOT NULL	DATE
FLEET_EXPIRE_DATE	NOT NULL	DATE
FLEET_UPDATE_DATE	NOT NULL	DATE
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0021_2

Name	Null?	Type
IRP_ACCOUNT_NUMBER	NOT NULL	VARCHAR2 (32)
FLEET_NUMBER	NOT NULL	VARCHAR2 (15)
NAME_TYPE	NOT NULL	VARCHAR2 (2)
NAME	NOT NULL	VARCHAR2 (120)
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

SAFER T0021_3

Name	Null?	Type
IRP_ACCOUNT_NUMBER	NOT NULL	VARCHAR2 (32)
FLEET_NUMBER	NOT NULL	VARCHAR2 (15)
ADDRESS_TYPE	NOT NULL	VARCHAR2 (2)
STREET_LINE_1		VARCHAR2 (90)
STREET_LINE_2		VARCHAR2 (90)
PO_BOX		VARCHAR2 (90)
CITY	NOT NULL	VARCHAR2 (90)

STATE	NOT NULL VARCHAR2 (2)
ZIP_CODE	NOT NULL VARCHAR2 (10)
COUNTY	VARCHAR2 (90)
COLONIA	VARCHAR2 (90)
PROCESS_IND	NOT NULL VARCHAR2 (1)
LAST_UPDATE	NOT NULL DATE
LAST_USER_ID	NOT NULL VARCHAR2 (20)

SAFER T0022_1

Name	Null?	Type
VIN	NOT NULL	VARCHAR2 (30)
TITLE_NUMBER		VARCHAR2 (17)
TITLE_JURISDICTION		VARCHAR2 (4)
OWNER_NAME		VARCHAR2 (55)
MODEL_YEAR		VARCHAR2 (4)
MAKE		VARCHAR2 (10)
TYPE		VARCHAR2 (2)
MODEL		VARCHAR2 (3)
FUEL		VARCHAR2 (1)
UNLADEN_WEIGHT		NUMBER (8)
NUMBER_OF_AXLES		NUMBER (2)
LICENSE_PLATE_NUMBER	NOT NULL	VARCHAR2 (12)
IRP_BASE_COUNTRY	NOT NULL	VARCHAR2 (2)
IRP_BASE_STATE	NOT NULL	VARCHAR2 (2)
UNIT_NUMBER		VARCHAR2 (20)
LAST_UPDATE_DATE	NOT NULL	DATE
INTERSTATE_FLAG	NOT NULL	VARCHAR2 (1)
IRP_STATUS_CODE	NOT NULL	VARCHAR2 (3)
IRP_STATUS_DATE	NOT NULL	DATE
IRP_ACCOUNT_NUMBER		VARCHAR2 (32)
IRP_FLEET_NUMBER		VARCHAR2 (15)
REGISTRATION_START_DATE		DATE
REGISTRATION_EXPIRE_DATE		DATE
OPERATOR_NAME		VARCHAR2 (55)
SAFETY_CARRIER		VARCHAR2 (12)
IRP_CARRIER_ID_NUMBER		VARCHAR2 (12)
IFTA_LICENSE_NUMBER		VARCHAR2 (18)
GVW		NUMBER (8)
GVW_EXPIRE_DATE		DATE
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)
SENDING_STATE		VARCHAR2 (2)
VERIFICATION_SOURCE		VARCHAR2 (10)
VERIFICATION_DATE		DATE

SAFER T0022_2

Name	Null?	Type
VIN	NOT NULL	VARCHAR2 (30)
IRP_JURISDICTION	NOT NULL	VARCHAR2 (4)
IRP_WEIGHT_CARRIED	NOT NULL	VARCHAR2 (8)
IRP_WEIGHT_EXPIRE_DATE	NOT NULL	DATE
PROCESS_IND	NOT NULL	VARCHAR2 (1)
LAST_UPDATE	NOT NULL	DATE
LAST_USER_ID	NOT NULL	VARCHAR2 (20)

Detailed Cost Breakdown Section

Task	Staffing Category	Est Hrs	Rate	Total
Requirements Definition	Client Analyst		\$101.25	
Functional Design	Client Analyst		\$101.25	
Detail Design	Senior Programmer Analyst		\$101.25	
Software Development/Unit Testing	Senior Programmer Analyst	64	\$101.25	\$6,480.00
Project Analysis/Review	Systems Analyst		\$101.25	
Quality Assurance Testing	Client Analyst	16	\$101.25	\$1,620.00
Documentation	Client Analyst		\$101.25	
Installation/Implementation	Senior Technical Specialist	2	\$101.25	\$202.50
Total Cost of Delivery		82		\$8,302.50

Software Design and Cost Estimate Approval Section

This is a billable enhancement. The estimated price is:	\$8,302.50
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We have reviewed the specifications for the above described project task and determined that it successfully describes the desired modifications or enhancements. We agree to the cost estimate. If any changes are made to the specification document after it has been signed, the specification and associated cost estimate (if billable) will be considered null and void. Xerox will provide a new specification and cost estimate based upon the additional requirements. This cost estimate is valid for only 30 days from the date of this letter. The issue will be closed if you have not responded within this time frame.

If any changes are made to a non billable specification document after it has been signed, you will be billed for the additional work effort. Xerox will provide you with a new specification and cost estimate based upon the additional and/or modified requirements.

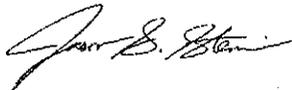
Payment for all work under this enhancement will be due upon final client acceptance which is determined by the turnover of software to the client's production environment. If the production turnover is delayed due to no fault of Xerox, 90% of the enhancement total amount due will be payable immediately to Xerox. A production turnover will then be scheduled at the discretion of Xerox, and the remaining 10% will be due once the turnover has been successfully completed and verified.

Jurisdiction Signature:

Title:

Date:

Xerox Signature:



Title: Vice President & Managing Director

Date: 11/20/2012

ATTACHMENT FIVE

Agency Returns Scan Line Specifications

Scan Line Print and Position

Scan line numbers must be printed in OCR-A font. The start of the scan line is to be 19 mm from the left side of the page (horizontal print position 9), from the top of the page to the top of the scan line will be 258 mm (vertical print line 62). The size of the scan line numbers is 11 point, 10 characters per horizontal inch. A minimum one-fourth inch clear space around the scanline is required.

Scan Line Definition

Field Length = 69 numbers

000111222222222333333334444444455566666666666667777777777888888888889

Agency lockbox returns

Agency lockbox returns with a **valid** scanline will adhere to the edits below.

Field Name	Length	Type	Position	Edit
Agency Lockbox Scanline	69	N	1-69	
Dept. Code	3	N	1-3	Check against Dept., Division, and Account Codes Validation Table
Div. Code	2	N	4-5	Check against Dept., Division, and Account Codes Validation Table
STARS Acct.	5	N	6-10	Check against Dept., Division, Account Codes Validation Table
Cost Center	5	N	11-15	none
Agency Code	3	N	16-18	none
Reserved	40	N	19-58	none
Amount Due	10	N	59-68	none
Check Digit	Dept., Division, Account Code Table	N	69	mod 10, sum of Digits, 1-2-1-2 weight string

Check Digit Computation

- Agency lockbox is using a Mod 10 check digit routine, sum of digits method, with a 1-2-1-2 weight.
- The scanline data is 68 positions with the calculated check digit in the 69th position.
- The check digit calculation routine uses all 68 positions of the scanline.
- The first position of the scanline is multiplied by 1, the second by 2, the third by 1 and so on until the weight has been applied to all 68 positions of the scanline.
- Each position is multiplied by its corresponding weight.
- Add the resulting products to get the sum of products.

- Example:

ATTACHMENT SIX

Tennessee Approval Guidelines for Printed Substitute Forms



Tennessee Department of Revenue
FY 2012-2013

GUIDELINES FOR SUBSTITUTE FORMS

INTRODUCTION

The Tennessee Department of Revenue has scanning technology that is used for remittance processing as well as for data capture. This technology reduces processing time, cost of processing and storage. Almost all of the department forms that could be returned with tax revenue are designed to benefit from the technology.

These guidelines have been developed to provide substitute form vendors with information on how to meet the Department's minimum standards necessary to work with the state's processing equipment.

SECTION 1. PURPOSE

This release provides procedures for the production and approval of substitute tax forms to be used in place of forms produced and distributed by the Tennessee Department of Revenue. Substitute forms that follow these guidelines will improve the department's ability to process these returns.

SECTION 2. SCOPE

.01 The Department will accept only those substitute forms that conform to the corresponding official forms, comply fully with the requirements set forth in this administrative release, and do not have an adverse impact on tax processing. **The Commissioner, or designated representative, reserves the right to reject substitute forms with poor legibility or that do not meet the requirements of this release.**

.02 This release will be updated to reflect pertinent form changes and to meet processing and/or legislative requirements.

SECTION 3. MESSAGE TO TAX RETURN PREPARERS

To change or modify any tax form, you must follow these procedures to get official approval before using substitute forms. The Commissioner of Revenue or an appointed representative may identify and contact tax return preparers using unapproved forms which do not conform to this procedure and which impede return processing.

SECTION 4. DEFINITIONS

.01 **DEPARTMENT:** The Tennessee Department of Revenue.

.02 **COMPUTER-GENERATED TAX FORM:** A tax form designed for and printed entirely by the use of a computer printer as an exact textual and graphical reproduction of the corresponding Tennessee tax form.

.03 **COMPUTER-GENERATED SUBSTITUTE FORM:** A form designed for and printed entirely by the use of a computer printer that is not an exact textual and graphical reproduction of the corresponding Tennessee tax form. All line numbers, line captions, and tax amount data entries are in the same computer typeface.

.04 **COMPUTER-PREPARED SUBSTITUTE FORM:** A pre-printed form onto which the taxpayer's tax information has been entered by a computer, computer printer or other computer-type equipment, such as word processing equipment.

.05 **DATA ENTRY FIELD:** All areas designated on a form for the insertion of data, such as dollar amounts, quantities, responses, check-boxes, etc.

.06 **FORMAT:** The overall Physical arrangement and general layout of a substitute form, as represented by the official form version.

.07 **GRAPHICS:** Those parts of a printed tax form that are not tax amount or informational entries. Generally, these are line numbers, captions, screens, instructions, special indicators, borders, rules, and strokes created by typesetting, photo-graphics, photo-composition, etc.

2. From one filing period to another, a change in law or a change in internal need (processing, audit, compliance, etc.) may change the allowable limits for altering the official form.
3. To get approval of a substitute form, submit a set of proposed form(s) with the required scanline to: ITR Division, Tennessee Department of Revenue, Andrew Jackson State Office Building, 500 Deaderick Street, Nashville TN 37242

a) **For Non 2-D barcoded returns:** Each set should contain three returns: 1) a return whose scanline contains an account number as the taxpayer identification, 2) a return whose scanline contains a social security number as the taxpayer identification, and 3) a return whose scanline contains a FEIN as the taxpayer identification. **Use only one taxpayer ID per scanline.** Tennessee will need to examine samples that utilize the account number as well as the alternate ID fields in the scanline as they will appear on returns submitted for processing (see scanline specification for FEIN/SSN field). To expedite the approval of multiple sets of forms (such as individual and corporate forms), submit your proposed forms in separate groups. Sample taxpayer information will be provided (including account type, account number, beginning and ending periods, filing frequency, SSN/FEIN, form type, etc.) for requested tax types to provide standardized input for filling the scanline fields and computing the check digit.

The returns must also utilize dummy data released by the Tennessee Department of Revenue. The dummy data is released in two files, consisting of a test data sheet that contains account data (i.e. account name and address, account number, filing period, etc.) plus a test data scenario that shows a sample scenario of returns with line-by-line figures to be placed on submitted samples. The line-by-line information provides one method of software companies to compare their calculated data to what would be expected by the department under that scenario. Although the scenarios are only provided for the three returns listed above, the test data sheet can still be used to populate account data fields and scanline fields on related forms.

b) **For 2-D barcoded returns:** Same as above in 3a, except that up to five scenarios (Department will indicate annually how many) will be provided and approval will consist of both a scanline read plus a read of the 2-D barcode. Format of fields are provided as well as field definitions. Several documents are provided for the 2-D application and can be viewed on the vendor's webpage.

4. The Department approves only the general appearance of the printed substitute form plus validates the accuracy of the scanline. Taxpayer information fields and data fields on substitute tax forms must essentially duplicate the appearance and layout of the official form including size of margins, special keying symbols, and line numbers. The official design of Tennessee tax forms can be found on the Department's webpage. The webpage's may contain draft versions (designated by the word "DRAFT" appearing across the form), but substitute forms must be based on the final version. The scanline must print exactly in the location outlined in the scanline specifications. The Department does not review or approve the logic used to compute data fields for specific software programs, but will review the calculations entered in data fields based on provided test data scenario on major forms (although these figures will not be the sole basis of disapproving submitted forms). The accuracy of the program remains the responsibility of the software developer, distributor, or user. The Department is primarily concerned with the quality of the final forms, including the format and quality of data printed on each page of the substitute forms and the scanline.
5. The Department's approval process does not include approval of blank substitute forms. Approval standards exist only for computer-generated substitute forms that include printable data fields and scanline.

.03 WHEN TO SUBMIT PROPOSED SUBSTITUTES: Proposed substitutes should be submitted as far in advance of the filing period for the form as possible. This allows adequate time for Department review and response, and permits internal documentation of acceptable substitute forms.

.04 ACCOMPANYING STATEMENT: Each request for approval of substitute forms should be accompanied by a statement listing the forms being submitted and highlights of detail items that deviate from the official form(s). Include an explanation for each deviation.

- .08 ITEM CAPTION: The textual portion of each line on the form identifying the specific data elements required.
- .09 LINE REFERENCE: The line numbers, letters, or alpha-numerics used to identify each captioned line on the official forms and printed to the immediate left of each caption or data entry field.
- .10 MANUALLY PREPARED FORM: A form on which the taxpayer's tax information is entered by an individual using a pen, pencil, typewriter, or other non-automated equipment.
- .11 PIN-FED FORM: A printed form that has marginal perforations for use with automated and high-speed printing equipment.
- .12 PRINTED (OR PRE-PRINTED) FORM: A form produced using conventional printing processes, or that has been reproduced by photocopying or similar processes.
- .13 REPRODUCED FORM: A photocopy of an official form printed and distributed by the Tennessee Department of Revenue. A reproduction is not a substitute form, but may be used subsequently as a computer-prepared substitute form.
- .14 SCANLINE: A 69-character string of numbers that appears in a pre-designated area of each processible Department form. (NOTE: See separate Lockbox scanline specifications-Attachment 5 for the placement and contents of the scanline.)
- .15 SEQUENCE: The numeric and logical placement order of data as reflected on the official form version. Sequence is an integral part of the total format requirement.
- .16 SUBSTITUTE FORM: A tax form (or related schedule) that differs in any way from the official version and is intended to replace the official form that is printed and distributed by the Tennessee Department of Revenue.
- .17 SUPPLEMENTAL SCHEDULE: A document providing detailed information to support an entry for a line(s) on an official or approved substitute form and filed with (attached to) a tax return. A supporting statement is not a tax form and does not take the place of an official form.
- .18 2-D BARCODE: The PDF417 is a two-dimensional stacked barcode symbology providing sufficient information density and capacity for both Portable Data File and small item marking applications.

SECTION 5. APPROVAL PROCESS

.01 BASIC REQUIREMENTS: Software developers and any others who design computer-generated prepared tax forms must develop such substitute forms using these guidelines. Substitute forms, unless defined as an exception by this release, must be approved by the Department. The Department will not review or approve substitute forms from software developers until they register with the Department to collect and remit sales tax on purchases. **The Commissioner, or designated representative, reserves the right to reject substitute tax returns with poor legibility or that do not meet the requirements of this release.**

.02 REQUESTS FOR APPROVAL:

1. The Department will not approve your substitute form until the final draft of the printed form has been published. Submit substitute forms for approval only after you have examined the final draft of the form.

The Department may release advance proof copies of selected major tax forms that are subject to further changes and approval before their release in final format for printing and distribution to the public. These advance proofs are subject to significant change before forms are finalized. If these advance proofs are used as the basis for your substitute forms, you will be responsible for subsequently updating your forms to agree with the final official form before use.

.05 APPROVAL/NON-APPROVAL LETTER: The Department will send a formal letter/e-mail of approval or non-approval (either mailed, e-mailed, or faxed). Approval letters may contain qualifications for use of the substitutes. Non-approval letters may specify the changes required for approval and may require more forms to be resubmitted. The Department will correspond with vendors within 10 working days after receipt of the proofs for an initial submission, and three working days for resubmissions. Initial submission must be printed forms, however, resubmissions may be either faxed or through a PDF file if the update is applicable and the Department approves that format prior to submission. These approvals will be made per request for each individual situation.

.06 FORMS VENDOR IDENTIFICATION: Vendors that produce substitute forms are required to print company identification on the front of all returns that their software produces. Each vendor's identification should be printed near the top left corner of the form under the three-alpha, three-numeric form number (ex. the Tennessee Sales & Use Tax Return form number in that area is SLS 450). In addition, on forms that include a tearoff coupon (ex. FAE 172, Franchise, Excise Tax Declaration), the vendor identification number also must appear below the three-alpha, three-numeric form number on the coupon. The exceptions to this placement are on the Tennessee Income Tax Return (RV-R0008601, INC 250) and the 2-D Coversheet only for the Franchise, Excise Tax Return (RV-R0011001, FAE 170) where both forms have a field specifically designated for that code, labeled "Developers Code." This identification will be used to monitor processing problems with returns from specific vendors. The Department, while reserving the right to reject substitute tax returns with poor legibility or that do not meet the requirements of this release, will contact the vendor and attempt to resolve the problem.-.SECTION 5, 06 MAY BE REMOVED IF XEROX IS THE SOLE SOURCE OF SUBSTITUTE FORM SOFTWARE.

.07 RESPONSIBILITY OF VENDOR: Upon approval of a substitute forms package or a software output program to print substitute forms, the originator (designer or distributor) must provide each client with the Tennessee tax forms requirements which must be met for acceptability. For example, this responsibility includes specifying print, font size, paper size and thickness, and ink to be used to satisfy Tennessee substitute tax form requirements.

.08 VENDOR RELEASE: If a vendor releases a forms package prior to receiving approval from the Department of Revenue, the program should print "DO NOT FILE" on the return in large print. Vendors should advise their customers that those forms are not to be submitted to the Department of Revenue or released to clients by practitioner. Vendors should advise their customers when they can expect a software update to print the correct approved form.

SECTION 6. SUBSTITUTE FORMS REQUIREMENTS

.01 GENERAL GUIDELINES

1. OFFICIAL FORM IS THE STANDARD FORM EXCEPT FOR 2-D BARCODED FORMS: Because a substitute form is a variation from the official form, you should know the requirements of the official form for the year of use before attempting to modify it. **The Commissioner reserves the right to reject substitute tax returns with poor legibility or that do not meet the requirements of this release.**
2. DESIGN: Each form must follow the design of the form posted to the vendor website as to format, arrangement, item caption, line numbers, line references, and data sequence.
3. HORIZONTAL AND VERTICAL LINES: Horizontal and vertical lines required as shown on official forms. No vertical lines may be used in taxpayer data fields, (i.e. Social Security number would be printed 123-45-6789.) Horizontal lines must not touch the taxpayer data to be entered in those fields.
4. MARGIN REQUIREMENTS:
 - (a) Margins on reproduced tax forms must be at least as large as the margins on the official form.

(b) Tennessee utilizes a minimum one-quarter inch margin on its system-produced forms. Larger, reasonable margins are acceptable, including the half-inch margins that are standard among many vendors. However, a minimum margin of at least one-quarter inch must be maintained across the top, bottom, and both sides (exclusive of any pin-feed holes) of all computer-generated substitutes.

(c) The marginal, perforated strips containing pin-feed holes must be removed from all forms prior to filing with the Department.

5. **TAXPAYER/PREPARER INFORMATION AND SIGNATURE AREA:** Taxpayer and preparer signature area may not be rearranged or reworded and must be located in close proximity as the same location as on the official form found on the Tennessee website. This is not a scannable field but is plotted on returns to allow archiving of the signature on various mediums (microfiche, etc.). The jurat/perjury statement/signature line areas must be worded exactly as on the official form.

.02 PAPER REQUIREMENTS:

1. PAPER CONTENT:

(a) Chemical wood writing paper that is equal to or better than the quality used for the official form.

(b) At least 20 pound bond.

2. PAPER PROHIBITED:

(a) Carbon paper and carbon-bonded paper may not be used for substitute forms.

(b) Lined machine paper and lined color-barred paper are not acceptable.

(c) Paper with chemical transfer properties (NCR Paper).

3. PAPER COLOR: White paper required.

4. **PAGE SIZE AND THICKNESS:** Substitute or reproduced forms and computer-prepared/generated substitutes must be the same size and orientation as the official forms (usually 8 1/2" x 11" portrait) exclusive of pin-feed holes. Several Tennessee forms are designed utilizing coupons as indicated on the official form. Substitute forms must also emulate the coupon format of official forms.

.03 PRINTING REQUIREMENTS:

1. **PRINTING MEDIUM:** The private printing of all substitute tax forms must be by computer graphics or similar reproduction processes.

2. **INK COLOR:** Black print.

3. **LEGIBILITY:** All forms must have a high standard of legibility for printing and reproduction and for data entries. **The Department reserves the right to reject forms with poor legibility.** The ink and printing method used must ensure that no part of a form (including text, graphics, data entries, etc.) develops "smears" or similar quality deterioration, including any subsequent copies or reproductions made from an approved master substitute form, either during preparation or during processing.

4. **TYPE FONT:** In non-data fields, most Tennessee income tax forms are printed using "Helvetica" as the basic type font for type that is 9-point or smaller; Times New Roman is the basic type font for type that is 10-point or larger. It is recommended that you use these type fonts. **Characters in data fields must be printed in courier or OCR A font (characters must not touch each other and must not touch vertical or horizontal lines).**

5. **BOXES, SCREENS, LOGOS, AND REVERSE LETTERS:** Check-off boxes are acceptable. Do not use boxes in alpha-numeric fields such as taxpayer name, address, social security number, income, tax, etc. Screens and reverse letters or numbers are not acceptable on substitute forms.

6. **VARIABLE PRINTED DATA:**

(a) The format for dollar values must follow the format of the official state form. If the form calls for rounded amounts, the field must contain only dollar amounts without decimals. On forms that do not call for rounding figures, the field amounts should contain dollar amounts followed by decimal and a two-digit amount for cents

(b) The format for amount fields should not contain commas or leading dollar signs ("\$"). Use a leading dash to indicate negative amounts.

(c) **Data Field Delimiters:** Data such as social security numbers, dates, and negative values to be entered as follows:

Federal Employer ID Number:	Delimiter 12-3456789
Social Security Number:	Delimiter 123-45-6789
Dates:	Delimiter 1999-12-01
Negative Values:	Leading minus sign -123
Telephone Numbers	Delimiter 123-456-6789 or (123) 456-6789

(d) **Taxpayer and Preparer Information Sections:** Courier (monospaced) font required. Spacing between groups is governed by the format utilized on the final version of the form as designed by the Tennessee Department of Revenue.