UPL Platform v1.1 Technical Specifications

# Table of Contents

* [Context](#id.t6b4egnqgnmk)
* [Stages Overview](#id.5wyjkt5wujod)
* [Key Components](#id.y3xmvoqyezor)
* [Developer Screens](#id.6iydxfp8h087)
* [UPL Employee Screens](#id.9f0vyl1hf6o1)
* [System Generated Action Cards](#id.tlakneqhxhos)
* [Automated Emails and Email Templates](#id.5w53kmq3tg4b)
* [Automated Documents Creation](#id.z309s7bkw7kx)
* [Technology Considerations](#id.fd1xcnb2jg3b)
* [Documentation](#id.ghbioms2gku9)

# Context

**User Types**

There are two types of users in the system. We are classifying these user types as either Internal or External. All three user types will be able to log into the Platform, though the user experience will be different for each.

* Internal: Employee
* External: Developer

*Future Note: a future feature (not included in v1.1) will be to add in a third and fourth user type: Investor and Distributor. These will be "external" user types.*

**Employees**

Employees are internal users, meaning these are UPL staff. Employees will have multiple Employee Roles:

* UPL Executive (Highest Ranking)
* UPL Senior
* UPL Junior
* UPL Administrative (Lowest Ranking. Currently does not have a role in terms of having System-Generated Action cards assigned to her. However she can create tasks, have tasks manually assigned to her, etc.)
* System Admin

Each employee can only have one role, though a higher ranking employee has permission to perform a lower ranking employee’s responsibilities. The Roles of an Employee Type (ex: Executive, Senior, etc) are fixed (meaning they are hard coded in the system). In future phases there may be the ability for the System Admin to manage these, but for v1.1 the roles are hard coded. Determining what Employee Type a user is, however, is managed by on the Employee Detail page (under Permissions & Roles).

**Developer**

Developers are external users who have limited functions inside of the platform. The Developers' primary roles will consist of submitting project opportunities as well as files and information related to the project.

Stages Overview

Please see the accompanying flow chart here: <https://www.dropbox.com/s/k34tkejlvxpsah6/UPL%20v1.1%20Flow.pdf>

# 1. Project Submission Stage

In the Project Submission Stage, the Developer submits a Project Opportunity. A rough example of the type and number of fields can be found in this form: <https://uplenergy.wufoo.com/forms/submit-a-project>. The Project Opportunity form will have validations to require that the data is input in the proper format.

The Project Opportunity Submission is a publicly-accessible form. A Developer who does not have access to the UPL Platform can still submit a Project Opportunity and he submits it via the Publically Accessible Project Submission page.

Developers who already have access to the UPL Platform are invited to login to submit a Project Opportunity. If a Developer is logged in and submits a Project Opportunity, the Project is automatically associated with the Developer’s account in the Platform.

# 2. Discovery Stage

In the Discovery Stage, UPL is reviewing the Project Opportunity submission to determine if the Project has the potential to be an approved Project. The Project Opportunity information is available in System Data (accessible directly from the UPL Employee’s Project Detail page view) as well as in a Downloadable spreadsheet that includes Project Submission information in it).

It is a UPL Junior’s responsibility to review the Project Opportunity submission and mark it as: Proceed, Decline, or Holding.

If the UPL Junior Declines the Project Opportunity, the Developer is automatically notified with a template email (though the UPL Junior can customize the template prior to sending) and the Project Status is changed to “Closed” with the label Closed-Discovery.

If the UPL Junior marks the Project Opportunity as “Hold”, the Project is given the label “Holding-Discovery”. UPL Employees can easily pull up all "Holding" projects in order to follow up when appropriate. The UPL Junior can send a message to the Developer notifying of the status. Further communication can happen with the Developer inside the system.

If the UPL Junior marks the Project Opportunity as “Approved”, the Developer is notified with a template email (though the UPL Junior can customize the template prior to sending) and the Project Status is moved to Due Diligence. There are two email templates for this action as if the Developer already has access to the Platform, they are simply notified of the progression. If the Developer does not already have access to the Platform, they are notified of the progression and an account is auto-created for the Developer.

# 3. Due Diligence Stage

In the Due Diligence Stage, the primary action is for the Developer to complete the “Initial Submission Package” and for each element of the Initial Submission Package to be reviewed and approved by UPL.

To begin, a Non Disclosure Agreement (NDA) is automatically generated and submitted to the Developer to complete. The NDA is to be completed and signed online by the Developer. Before sending, the UPL Employee can determine whether to send a California version or Delaware. By default it chooses Delaware.

After the NDA is executed (and confirmed to be executed by a UPL Junior), the Developer is tasked with completing the Initial Submission Package.

The Initial Submission Package consists of:

1. An "Executive Summary" of fields which the Developer must complete.
2. A number of documents which the Developer must execute and upload.

When the Developer has completed #1 and #2, he submits the completed Initial Submission Package to UPL inside of the system.

Next, a UPL Junior reviews each item (Executive Summary and each document) and marks each as either Approved, Not Approved, or Not Executed.

If an item is marked Not Approved by the UPL Junior, a UPL Senior either confirms the Not Approved (Not Approved Confirmed) or overrides the Not Approved which is then changed to Approved. If Confirmed as Not Approved, the project moves to Closed and the Developer is notified.

If there are Not Executed items but no Not Approved Confirmed, a UPL Junior pushes the Initial Submission Package back to the Developer with a summary of what was Not Executed. The Developer then resubmits the items which were Not Executed.

Once the Developer submits a completed Initial Submission Package and all items are marked as "Approved", the Initial Submission Package is assigned to a UPL Senior for review.

The UPL Senior marks the Project as either Approved, Declined, or Hold.

If Approved, the project moves onto Acquisition and the Developer is notified.

If Declined, the project moves to "Closed" with the label "Due Diligence Not Approved". The Developer is notified.

If Hold, the project moves to "Holding".

# 4. Acquisition Stage

The Acquisition Stage is the final stage before a Project is fully accepted and moved to the Construction Stage.

At the beginning of the Acquisition Stage, a Terms Sheet is created and Submitted to the Developer. This Terms Sheet is manually initiated by a UPL Junior in the system, though the Terms Sheet pulls data in from other areas of the system.

The Developer is required to execute the Terms Sheet by completing/signing online (inside the system). If the Developer does not execute the Terms Sheet, the only stage the Project can move to is Closed. It moves to closed manually by a UPL Employee.

After the Developer executes the Terms Sheet, a Senior UPL associates the Project with an Investor in the system. The Investor is chosen from a Dropdown. While Investors cannot log into the system, the UPL Employees manage a list of Investors and details about each Investor in the Investors section of the system.

Once an Investor Accepts the project (outside of the system), the project is given to a UPL Executive for review (Initial Submission Package assigned to UPL Executive from a System-Generated Action Card). The UPL Executive can either Decline the project, which moves the Project to Closed, or Approve. The UPL Executive can also mark the Project as “Hold”.

Once the Project is Approved, the Developer is tasked with submitting the remaining required files. There are approx. 40 files which the Developer must submit. Once the Developer uploads all files, he can Submit the completed set of files to UPL all at once (inside of the system).

A UPL Junior reviews all files and notes that they are Executed or Not Executed. If Not Executed, the Developer must re-submit the Not Executed files. This happens until all files are marked Executed by a UPL Junior. There are a fixed number of files.

Then a UPL Senior creates a PSA and submits to the Developer. The PSA is manually created by a UPL Senior, though the PSA pulls data in from other areas of the system.

The Developer must execute the PSA by completing/signing online (inside the system). If the Developer does not execute the PSA, the project eventually must be moved to "Closed" by a UPL Senior.

Once the Developer executes the PSA, the UPL Executive must give Final Approval. The UPL Executive can mark as Approved, Declined, or Hold.

Once the UPL Executive gives final approval, the UPL Executive submits the PSA to the Investor to execute (outside of the system).

Once the Investor executes the PSA, the UPL Executive confirms in the system and the Project moves to the Construction Stage.

# 5. Construction Stage

The Construction Stage has a number of Action Cards which are generated based on previously completed Action Cards. There are a number of Action Cards which are created and assigned throughout this stage, dependent on the completion of prior Action Cards, until the Project finally gets to "Completed".

Key Components

# Action Cards

Action cards are similar to what many systems call "tasks". Action Cards consist of both System Cards and Freestyle Cards.

System Action Cards are Action Cards (tasks) which are automatically generated and assigned based on preset parameters and system activities. Other than Projects moving through "Stages", System Action Cards are the primary mechanism by which an ordered process is established and managed within the system.

Freestyle Action Cards are Action Cards (tasks) which are manually created by a UPL Employee.

# Third Party Communication

The system will be able to facilitate communication with external users via messages from within the system. All such communication will be logged into the system. For example, a UPL Employee can send a message to a Developer from the system. An email will be generated and sent to the developer and logged into the system. If the developer replies, the reply will also be logged into the system. The Developer can also reply to a message from within the system.

# UPL Employees: Communication with Developers

UPL Employees can communicate with a Developer via messages from within the system. Communication can be initiated from:

1. Project Detail page (of a project related to a specific Developer)
2. Developer Detail page
3. Reply on a current message thread from elsewhere in the system (ex: Dashboard)

From the Project Detail page and Developer Detail page, the Employee can click "Message Developer" in order to create a new message thread which will bring up a window in the bottom-right portion of her window. Included in this Message Window are:

* Subject (if creating a new message)
* Message Body
  + Employee Signature is automatically added at the bottom of the message (can be edited by the employee). The Employee Signature is managed inside the Account Settings section of that Employee.
  + "View this message on the UPL Platform" link (short code shown, though full URL not shown [the short code shows inside the message before sending (ex: '[Message URL]') though it will automatically be added and not have the option for the Employee to accidently delete it. On the email notification side, it will be similar to Basecamp email notifications which include "View this on Basecamp".])

All messages generated from the system include:

* From Name as either "UPL Platform" (for auto system-generated emails) or the Employee's name who sent it
* From Email are always from one email address managed from inside the system (ex: platform@upl-energy.com).

The messages sent from the system are sent to the Developer's on-file email address.

If a Developer replies to an email, the email is stored in the same thread in the system and the sender of the message (from UPL) and the Relationship Manager (if assigned) both get an email notification.

Previous Message threads are visible to UPL Employees from the Project Detail page and Developer Detail page. The UPL Employee can see a message and click "Reply". From there a window is pulled up again from the bottom-right portion of her window.

# Project Stages Overview

A Project moves through a number of stages (Discovery, Due Diligence, Acquisition, Construction). While the Project moves through these phases (unless it's Closed before completing all stages), the overall layout of the Project Detail page stays fairly close to the same. Only components inside of that layout change (ex: Action Cards).

# Online Execution/Signing of Documents

Certain “documents” (web versions of documents) can and will be executed/signed by the Developer and UPL Employees via an “esignature”. The format submitted for execution/signature should be PDF only. When signing a document online, the following must be required and/or collected:

1. Written name of the signee
2. Written title of the signee
3. Actual signature collected (ex: using the mouse on the computer)
4. Date (automatically captured and shown)
5. IP Address (automatically captured and shown)

# Project Labels

A project can have one of the following labels:

* Active
* Maybe-[Current Stage]
* On Hold
* Closed-[Previous Stage]

The Project's label can be managed from within a Project Detail page. From the Projects List page, Projects can be filtered by their labels.

# Security

Overall, as we will have third-party users using the system, security measures must be high. Proprietary information will be stored in the system as well as sensitive data for UPL and Developers.

Security measures need integrated to help reduce the possibility of Developers’ accounts being hacked. These measures include password security requirements and strict “reset password” protocols.

**Passwords**

All passwords (UPL Employees and Developers) must be at least 8 characters

and must include at least one alphabetical character, at least one number, and at least one symbol.

Layouts Overview

# Developer Screens

## Developer Screens Overview

* D1: Public Project Submission [WF P]
* D2: Private Project Submission [WF P]
* D3: Create an Account [WF P]
* D4: Forgot Password
* D5: Project Detail [WF P]
* D6: Initial Submission Package [WF P]
  + D6b: Initial Submission Package: Executive Summary [WF P]
* D7. Initial Submission Package New Version
* D8: Terms Sheet [WF P]
* D9: Submit Remaining 40 Files [WF P]
* D10. My Profile [WF P]
* D11. Execute NDA
* D12. Execute Terms Sheet
* D13. Execute PSA
* D14. Dashboard [WF P]
* D15. Login

## D1. Public Project Submission (Developer)

See current form as an example: <https://uplenergy.wufoo.com/forms/submit-a-project/>

If the Developer does not have access to the UPL Platform, he goes to a page which is publicly accessible (note, if the Developer already has access to the platform, the Developer is encouraged to first log into the platform). The Developer completes the Project Submission form which includes the following fields:

[Insert Project Submission Fields]

After completing a Project Submission the Developer is taken to a (Public) Project Submission Confirmation page where the Developer sees a message confirming receipt of the project and information about what to expect next. An email confirmation will also be sent to the Developer.

## D2. Private Project Submission

See pending wireframe as a reference: <https://www.dropbox.com/s/lbdc1jouhfo6pf8/UPL-CRM-Developer-Public_Project_Submission.png>

If the Developer already has access to the UPL Platform, he logs into his account and clicks “Submit New Project”. This brings the Developer to a “Project Submission” page inside of the UPL Platform. The fields are very similar to the Public Project Submission form, though certain fields are pre-filled based on the Developer’s account.

[Insert Project Submission Fields]

The Project is automatically associated with the Developer’s account in the UPL Platform.

## D3. Create an Account (Developer)

See pending wireframe for reference: <http://app.uxpin.com/ac35cea058caf4b27ffe9c0aff1449b87233877a/10712560>

If a Project submitted by a Developer moves to the Due Diligence Stage and the Developer does not already have an account in the system, the Developer receives an email inviting him to create an account. The Developer clicks a link inside of the Welcome Email they receive and is taken to the Create an Account page. On this page the Developer sees her email address (not editable) and needs to create a username and a password (two fields: a password and then a password confirmation field). The password should require stringent security restrictions which are clearly communicated to the Developer:

Password requirements: must be at least 8 characters with at least one alphabetical character, one number, and one symbol.

The Developer also needs to add and answer three security questions. The Developer can choose from security questions from a dropdown. The Developer then enters the security question answer into the answer field.

[Insert security question options]

Note: a UPL Employee needs to be able to click to "Resend Welcome Email" (ex: in the case where a Developer did not receive the first email or missed it.

## D4. Forgot Password (Developer)

If a Developer forgets their password, they can click "Forgot Password" from the login page and are taken to the Forgot Password (Developer) page.

On the Forgot Password page, the Developer must enter the following:

* Username
* Email Address
* Last Name
* Zip Code for Address on File

If the user enters a username which also includes the correct other inputs, the user is taken to the Security Questions page. If there is not a match, the user is asked to try again or contact Support.

On the Security Questions page the user sees the previously selected 3 security questions and must answer each question correctly. If the Developer answers all three security questions correctly he is taken to a Reset Password page.

If the Developer does not answer the questions correctly, this is noted and the Developer must try again. The Developer can attempt 4 times within 24 hours before his account is locked. If his account is locked he must contact UPL Support for the account to be unlocked. If the Developer does not answer correctly the first time, he sees a message saying "You have 3 more attempts before this account is locked." If the account is locked, the user is sent the Developer Security Question Attempts Limit Exceeded email.

Password Reset: once reaching this page, the user can enter a new password (and a second field to confirm that password). The password security requirements should be included and enforced. After resetting the password, the Developer is taken to his Dashboard.

When a password is reset, a Developer Notice of Password Reset email is generated and sent to the Developer to let them know that their password has been reset and if they did not do this then please contact UPL Support.

## D5. Project Detail (Developer)

See pending wireframe for reference: <http://app.uxpin.com/ac35cea058caf4b27ffe9c0aff1449b87233877a/10710510>

On the Project Detail page, the Developer sees:

* Current Status (Developer-View Status)
* Project Information (Developer-View Project Information)
* Buttons to access current/previous key items such as: NDA, Initial Submission Package, Terms Sheet, Remaining Files, and the PSA
* Messages Related to the Project
* Pending Action Steps that are the responsibility of the Developer to complete.

## D6. Initial Submission Package (Developer)

See pending wireframe for reference: <https://www.dropbox.com/s/aalw9tuv1owt981/UPL-CRM-Developer-Project_Package-Default.png>

There are two primary parts of the Initial Submission Package: Executive Summary and Project Documents (the Project Documents are fixed for all projects). At the beginning of the Due Diligence stage, the Developer must complete and submit the Initial Submission Package.

On the Initial Submission Package page, the Developer sees the Executive Summary status/link as well as the Project Documents.

**D6b. Executive Summary:**

See pending wireframe for reference: <https://www.dropbox.com/s/qet8vwtiwxyme3h/UPL-CRM-Developer-Project_Package-Executive_Summary.png>

When in the Initial Submission Package page, the Developer sees the Executive Summary container which includes the status and can click to Edit Executive Summary.

When clicking to be taken to the Executive Summary page (within the Initial Submission Package section), the Developer can fill in all fields of the Executive Summary. The developer can save the Executive Summary as a draft. Unless it is finalized, the Initial Submission Package is incomplete and user can not move ahead.

At any time the Developer can click to Save (even if in progress). The following fields are included in the Executive Summary:

[Enter Executive Summary fields]

**Project Documents:**

The following Project Documents are included below. Only certain of them are required.

[Enter Project Documents List and which are required]

There is a container for each project document. Within each container is included the Document Name, a Help Tool-Tip related to that project, the current status, and the ability to upload that document.

The user can upload each file by clicking "Browse" in the container or by simply dragging a file into the container to upload.

After uploading a file, the container shows that the file has been uploaded. The Developer does have the ability to remove a file if it was already loaded.

Each document is associated with a pre-assigned a File Tag which allows the UPL Employee to browse files by tag.

A total Completion Status shows at the top of the Initial Submission Package showing the Developer how many of the required items are completed (ex: "4 of 8 required items completed").

**Submitting Initial Submission Package**

After the Developer completes the Executive Summary and uploads all required documents, the Developer can click "Submit Completed Project to UPL". When clicking Submit, an overlay appears asking the Developer to confirm that he has completed all items entirely and accurately.

[Insert content of the confirmation overlay.]

Once a Developer submits a completed Initial Submission Package, v1 of the Initial Submission Package is submitted to UPL and locked from the Developer editing v1 of the Initial Submission Package.

## D7. Initial Submission Package Revisions (Developer)

If the Initial Submission Package is “sent back” to a Developer because of any items which are “Not Executed”, the Developer is required to make the necessary changes. Technically “v1” of the Initial Submission Package is locked and not editable. The Developer then works on “v2” (or v3, v4, etc). Any “Approved” elements are locked (ex: Approved Executive Summary or Approved Documents). The Developer can only upload documents which have been not been marked Not Executed or Edit the Executive Summary if it was marked Not Executed.

## D8. Terms Sheet (Developer)

See pending wireframe for reference: <http://app.uxpin.com/ac35cea058caf4b27ffe9c0aff1449b87233877a/10747316>

## 

## D9. Submit Remaining 40 Files (Developer)

See pending reference wireframe: <https://www.dropbox.com/s/kw34o0zsov91oxe/UPL-CRM-Developer-40_Remaining_Files-Default.png>

The Developer reaches this page from the Project Detail page.

The following Documents are included below. Only certain of them are required.

[Enter Project Documents List and which are required]

There is a container for each document. Within each container is included the Document Name, a Help Tool-Tip related to that project, the current status, and the ability to upload that document.

The user can upload each file by clicking "Browse" in the container or by simply dragging a file into the container to upload.

After uploading a file, the container shows that the file has been uploaded. The Developer does have the ability to remove a file if it was already loaded.

Each document is associated with a pre-assigned a File Tag which allows the UPL Employee to browse files by tag.

A total Completion Status shows at the top of the Initial Submission Package showing the Developer how many of the required items are completed (ex: "4 of 40 required items completed").

After the Developer uploads all required documents, the Developer can click "Submit Completed \_\_\_\_\_\_\_\_ to UPL". When clicking Submit, an overlay appears asking the Developer to confirm that he has completed all items entirely and accurately.

[Enter content of the confirmation overlay.]

Once a Developer submits a completed \_\_\_\_\_\_\_\_\_\_\_, v1 of the Initial Submission Package is submitted to UPL and locked from the Developer editing v1 of the Initial Submission Package.

## D10. My Profile (Developer)

See pending reference wireframe: <http://live.uxpin.com/ac35cea058caf4b27ffe9c0aff1449b87233877a#/pages/13168350>

From the My Profile page, a Developer can manage:

* First Name
* Last Name
* Email
* Home Address
* Work Address
* Phone
* Username
* Password

**D14. Dashboard (Developer)**

See a pending wireframe for reference: <http://app.uxpin.com/ac35cea058caf4b27ffe9c0aff1449b87233877a/10711095>

[Insert Dashboard Details]

# UPL Employee Screens

## UPL Employee Screens Overview

* U1: Projects List Page [WF P]
* U2. Project Detail Page [WF P]
* U3. Developers List Page [WF P]
* U4. Developers Detail Page [WF P]
* U5. NDA Window
* U6. Executive Summary Window
* U7. Terms Sheet Window
* U8. Remaining 40 Files Window
* U9. PSA Window
* U10. Investors List
* U11. Investors Detail
* U12. Employees List
* U13. Employees Detail
* U14. My Profile
* U15. Settings
* U16. Reports
* U17. Dashboard
* U18. Messages
* U19. Login
* U20. Static Documentation

## U1. Projects List Page (UPL Employee)

See pending wireframe as a reference: <https://www.dropbox.com/s/i28dv4xi6ljmai7/UPL-WF-UPL_Emp-Projects-List-I_D.png?dl=0>

On the Projects List page, the UPL Employee can view all projects and filter by Status, Label, Relationship Manager. Each Filter type is independent, meaning the user can filter by both status and Relationship Manager at the same time.

A Project may also be searched for using these parameters:

* Project ID
* Developer First Name
* Developer Last Name
* Developer Company Name

Projects fitting the current Filter/Search settings show with pagination (up to 20 / page). The following information shows on the page for each project:

[Insert visible project info]

The Employee can click on a Project ID to go to the Project Detail Page for that project.

**Project ID**

Each Project is assigned a unique ID. We’re recommending the ID format of P-[Submission Date]-[Number of projects in the month]. So if a Project opportunity was submitted on January 15, 2015 and it was the 20th project submitted that month, the ID would be: P-150115-020.

## U2. Project Detail Page (UPL Employee)

See pending wireframe: <https://www.dropbox.com/s/zkj8horcz1iqt5e/UPL-CRM-Employee-Project-Due_Diligence-Default-.png>

The Project Detail page is the central hub for all details, reference information, and Action Cards for a Project.

**Project Information**

At-a-glance Project Information is visible (without clicking).

[Insert at-a-glance Project information]

The user may click “Full Overview” to pull up an overlay which includes all Project Reference Information.

[Insert full Project Reference Information]

**Developer Information**

At-glance Developer information is visible (without clicking).

[Insert at-a-glance Developer information]

The user may also click the Developer’s name to go to the Developer Detail page for that Developer.

**Key Resources**

Links to the following resources show. If the resource is available, the button shows as usable. If the resource is not available, it shows as greyed out. Resources include:

* Project Submission
* Initial Submission Package
* ~40 Files
* Terms Sheet
* PSA

**Add a Note/Call Note/File**

The UPL Employee (user) may add a note, call log, or File.

**Notes**: a note may be added with up to 5,000 characters. As long as the Developer has less than 3 critical notes, a note may be marked as “Critical” (see the Info Stream: Notes below).

**Call Log**: a call log is similar to a note, though a date field is also available to note the date of the call.

**File**: a file may be added here, one at a time. When adding a file, the user may browse for the file on their computer (or drag into a container), add a tag (or multiple tags) to the file, and give the file a name.

**Relationship Manager**

The Developer is assigned a “Relationship Manager’, which is a UPL Employee. Any Employee Type can be a Relationship Manager for a Developer. The assigned Relationship Manager shows here. The Relationship Manager is assigned from the Developer screen and can only be changed by a UPL Senior.

**Action Cards**

All Pending Activity Cards show by order of due date. By default, an excerpt of the name of the the task shows, the due date, and the responsible employee. The user may click to open/expand that card which then shows: full name of task, person responsible, due date, person who assigned “By System”, or “By [Employee Name]”.

**System-Created Cards**

If it’s a system-created Activity Card, a related Action button may show. See the full System Activity Cards overview.

Here is an example:

Name of Task: Review Initial Submission Package

Due Date: [Auto set]

Responsible Employee: [Name of Employee], [Employee Type]

Action Button: Initial Submission Package

Created By: System

**Creating an Action Card**

An Action Card can be created (called a “Freestyle Card”). When creating manually, the card needs to be given the following:

* Name (what is to be done)
* Assigned Employee (choose from drop-down)
* Due Date (not required)

**Info Stream**

The Info Stream includes the following items. Note that inside each item, the user can filter by All Developer or This Project Only. By default “All Developer” shows which includes all items for this Developer, even across other Projects. If the Employee chooses “This Project Only”, only items related to this project show.

* Notes
* Files
* Developer Interactions
* Status Changes
* Completed Actions
* All

**Info Stream: Notes**

Any notes which have been added by a UPL Employee for this Developer show. Notes show with the full note, Employee name, and timestamp of the note. By default the note is limited to showing the first 300 characters, then the user can select “Expand” and the full note shows.

Critical Notes: When adding a note, a user can mark a note as “Critical”. Critical notes show above all other notes, and are highlighted (ex: Red). Any Critical Note can be changed to normal by a UPL Senior. There can only be three Critical Notes for a Developer at any one time.

Any user can delete a note they add, though not edit. Only UPL Seniors can edit or delete anyone’s note.

**Info Stream: Files**

All Files related to this Project or Developer (depending on the selected view) show here. The user may filter files by Tags. By default, all File tags show.

Each File shows with: File Name, Tags, Employee/Developer (who submitted the file), Time stamp.

All UPL Employees can delete a file they added themselves. Only UPL Seniors can delete a file that was posted by another UPL Employee.

**Info Stream: Developer Interactions**

The Developer Interactions stream shows all interactions with the Developer. This includes all messages as well as all logged Call Logs. The interactions are shown with the most recent at the top.

Call Logs show with the UPL Employee Name, Timestamp, and note (limited to 300 characters, else the user clicks “Expand” to show fully).

Messages show with the Subject, Name of Employee/Developer, Timestamp, and first 300 characters of the message. The user can click “Expand” to show fully. The user can also click “Reply” which pulls up a reply window in the lower-right portion of the window.

Any system-generated messages which are sent to the Developer also show with the Subject, Message (first 300 characters show before clicking “Expand”), Timestamp, and notes “Automatic Message”.

**Info Stream: Status Changes**

Any Status Changes related to the Project/Developer show here. Included are: Name of Project, Employee who change the status, New Status, Previous Status, Timestamp of the change.

**Info Stream: Completed Actions**

Any completed actions related to the Project/Developer show here. Included are: Name of Project, Employee who was assigned, Employee who marked completed, Timestamp of completion.

**Info Stream: All**

The All Stream shows all entries organized by date. Any Critical Notes still show at the top of this stream.

## U3. Developers List Page (UPL Employee)

See pending wireframe: <http://live.uxpin.com/ac35cea058caf4b27ffe9c0aff1449b87233877a#/pages/13168617>

From this page the UPL Employee can find a Developer in the system. The UPL Employee can also add a Developer into the system starting from this page.

When searching for a Developer (using the search field), the following parameters are referenced:

* Developer First Name
* Developer Last Name
* Developer ID
* Developer Company Name

\* **Developer Id:** System will automatically generate a Developer ID upon the creation of a new developer. The ID format will be D-[Creation Date]-[Number of Developers created in the month]. For example, if the Developer is created on February 25, 2015 and he’s the 10th Developer created that month, the ID would be D-20150225-010.

## U4. Developer Detail Page (UPL Employee)

See pending wireframe: <http://live.uxpin.com/ac35cea058caf4b27ffe9c0aff1449b87233877a#/pages/13168816>

Primary page for the UPL Employee to manage information, internal notes, action cards, and messages related to the Developer.

## U10. Investors List Page (UPL Employee)

See pending wireframe: https://www.dropbox.com/s/i8jbrdzkntouyqa/UPL-WF-UPL\_Emp-Investors-List-I\_D.png?dl=0

From this page the UPL Employee can find an Investor in the system. The UPL Employee can also add an Investor into the system starting from this page.

When searching for an Investor (using the search field), the following parameters are referenced:

* Investor First Name
* Investor Last Name
* Investor ID

\* System will automatically generate an Investor ID upon the creation of a new developer. The ID format will be I-[Year]-[Number of Investors created in the year]. For example, if the Developer is created on February 8, 2015 and he’s the 5th Developer created that year, the ID would be I-20150208-05.

## U12. Employees List Page (UPL Employee)

See pending wireframe: <https://www.dropbox.com/s/kgxicaowv8oheg1/UPL-WF-UPL_Emp-Employee-List-I_D.png?dl=0>

From this page the UPL Employee can find an Employee in the system. The UPL Employee can also add an Employee into the system starting from this page.

The UPL Employee can filter by Employee Type.

When searching for an Employee (using the search field), the following parameters are referenced:

* Employee First Name
* Employee Last Name
* Employee Email
* Employee ID

\* **Employee Id:** System will automatically generate it on creating a profile of a new Employee. It is sequential starting with UPLE-101 (second will be UPLE-102, etc.)

## U18. Messages Section (UPL Employee)

A UPL Employee can click on the "Messages" tab where he/she can see all messages which he/she has permission to view.The goal of the Messages section is to have a central location to view all Messages to ensure that none get missed (even though relevant people receive an email notification when a message is received).

Messages show in chronological order.

Each message thread shows with the latest message visible (as well as the Developer name).

Clicking on a message takes the user to the detail page of the Developer where the UPL Employee can reply to the message.

A UPL Employee can also click “Outgoing” to see all Outgoing messages from the system. Clicking on a message in “Outgoing” will go to the Developer Detail page for the Developer that the message was sent to.

## U20. Static Documentation (UPL Employee)

The Static Documentation screen is a simple text-based section of the website that can be used to document process, etc, for UPL Employees. In v1.1, all Employees can see anything placed in this section and All employees can manage the content.

**Header of Developer and Employee screens**

Notification Icon & Dropdown: Shows only tasks assigned to current employee for v1.1.

Message Icon & Dropdown: Shows only for new replies to a message sent by the employee.

System-Generated Action Cards

The following is a list of System-Generated cards.

**Action Name: Review Project Submission**

Action ID: AC1

* Trigger: Action created when a Developer submits a new project submission.
* Assigned To: UPL Junior
  + Distribution: UPL Junior with least amount of pending “Review Project Submissions” in queue
* Default Due Date: End of following business day.
* Related Action: Project Submission (opens Project Submission window)
* Dependency: None

**Action Name: Progress Discovery**

Action ID: AC2

* Trigger:
* Assigned To:
* Default Due Date:
* Related Action:
* Dependency:

**Action Name: Send NDA**

Action ID: AC3

* Trigger: Project moved from Discovery to Due Diligence
* Assigned To: UPL Junior
  + Distribution: Junior who processed from Discovery. If it was not a Junior who processed, then the UPL Junior with the least pending Action Cards
* Default Due Date: End of following business day.
* Related Action: Submit NDA (opens the NDA Action Window)
* Dependency: None

**Action Name: Confirm NDA Executed**

Action ID: AC4

* Trigger: Developer submits completed NDA
* Assigned To: UPL Junior
  + Distribution: Junior who submitted NDA to the Developer. If it was not a Junior who submitted the NDA, then the UPL Junior with the least pending Action Cards.
* Default Due Date: Same business day if before Noon. Otherwise, next business day.
* Related Action: View NDA (opens the NDA Window)
* Dependency: None

**Action Name: Assign Relationship Manager**

Action ID: AC5

* Trigger: Immediately after an NDA is Executed, if no Relationship Manager is already assigned to the Developer
* Assigned To: UPL Senior
  + Distribution: UPL Senior with the least pending Action Cards.
* Related Action: Assign (opens Relationship Manager assignment drop-down in the Project Detail Page Action Area)
* Dependency: None

**Action Name: FU with Developer on Initial Submission Package #1**

Action ID: AC6

* Trigger: 3 days after the Initial Submission Package has been submitted to the Developer for completion (if the Developer has not submitted yet)
* Assigned To: Relationship Manager. If no Relationship Manager assigned, Action Card is assigned to the UPL Junior with the least pending Action Cards.
* Related Action: None
* Dependency: None

**Action Name: FU with Developer on Initial Submission Package #2**

Action ID: AC7

* Trigger: 10 days after the Initial Submission Package has been submitted to the Developer for completion (if the Developer has not submitted yet)
* Assigned To: Relationship Manager. If no Relationship Manager assigned, Action Card is assigned to the UPL Junior with the least pending Action Cards.
* Related Action: None
* Dependency: None

**Action Name: Initial Submission Package Review**

Action ID: AC8

* Trigger: When the Developer submits the Initial Submission Package (whether for the first time or a new version)
* Assigned To: UPL Junior
  + Distribution: UPL Junior with the least pending Action Cards
* Related Action: Initial Submission Package (opens Initial Submission Package Review in Project Detail Action Area)
* Dependency: None

**Action Name: Initial Submission Package: Confirm Not Approved**

Action ID: AC9

* Trigger: When the Initial Submission Package Review is completed and there are items which are noted as “Not Approved”.
* Assigned To: UPL Senior
  + Distribution: UPL Senior with the least amount of pending Action Cards
* Action: Review Initial Submission Package (pulls up Initial Submission Package in Project Detail Page Action Area with ability to confirm any Not Approved as Not Approved Confirmed or Approved Override)

**Action Name: Initial Submission Package: Not Executed Feedback**

Action ID: AC10

* Trigger: When the Initial Submission Package Review is completed and and there are items which are Not Executed (note: if any items were Not Approved Confirmed, this trigger is not created).
* Assigned To: UPL Junior
  + Distribution: UPL Junior who completed the Initial Submission Package Review
* Action: Submit Feedback (opens a message window with a summary of each item (Approved or Not Executed) and a custom message box)

**Action Name: Initial Submission Package: Decline Project Feedback**

Action ID: AC11

* Trigger: After a UPL Senior completes a Initial Submission Package: Confirm Not Approved review and marks any as “Not Approved Confirmed”.
* Assigned To: UPL Junior
  + Distribution: UPL Junior who completed the Initial Submission Package Review
* Action: Decline Project (Opens Decline Project in Project Detail Action Area. Message window appears to send message to Developer of decline)
* Dependency: None

**Action Name: Due Diligence Senior Review**

Action ID: AC12

* Trigger: After all items in the Initial Submission Package are marked as Approved or Approved Override.
* Assigned To: UPL Senior
  + Distribution: UPL Senior responsible for for “Due Diligence Decide”
* Action: Progress (opens up Progress in Project Detail Action area for the UPL Senior to Approve, Maybe, or Decline project)

**Action Name: Due Diligence Declined**

Action ID: AC13

* Trigger: After a UPL Senior marks a project As Due Diligence Declined
* Assigned To: UPL Junior
  + Distribution: UPL Junior who completed the Initial Submission Package review. If it was not a UPL Junior who completed the Initial Submission Package review, assign to the UPL Junior with the least number of pending action cards.
* Action: Notify of Decline (opens up message box with standard Due Diligence Decline message which can be customized)

**Action Name: Due Diligence Maybe**

Action ID: AC14

* Trigger: After a UPL Senior marks a project As Due Diligence Maybe
* Assigned To: UPL Junior
  + Distribution: UPL Junior who completed the Initial Submission Package review. If it was not a UPL Junior who completed the Initial Submission Package review, assign to the UPL Junior with the least number of pending action cards.
* Action: Notify of Maybe (opens up message box with standard Due Diligence Maybe message which can be customized)

**Action Name: Create Terms Sheet**

Action ID: AC15

* Trigger: After a project is marked as Due Diligence Approved and moves to the Acquisition stage.
* Assigned To: UPL Junior
  + Distribution: UPL Junior with the least number of pending Action Cards.
* Action: Create Terms Sheet (opens Create Terms Sheet window)

**Action Name: Send Terms Sheet**

Action ID: AC16

* Trigger: After a Terms Sheet is created in the system.
* Assigned To: UPL Junior
  + Distribution: UPL Junior who created the Terms Sheet. If it was not a UPL Junior who created the Terms Sheet, the UPL Junior with the least number of pending action cards is assigned.
* Action: Send Terms (opens up message window with Terms Sheet link, default message, and ability to customize the message)
* Dependency: Dependent on Create Terms Sheet (AC15)

**Action Name: FU with Developer on Terms Sheet #1**

Action ID: AC17

* Trigger: 3 business days after the Terms Sheet has been submitted to the Developer for completion (if the Developer has not submitted yet)
* Assigned To: Relationship Manager. If no Relationship Manager assigned, Action Card is assigned to the UPL Junior with the least pending Action Cards.
* Related Action: None
* Dependency: None

**Action Name: FU with Developer on Terms Sheet #2**

Action ID: AC18

* Trigger: 8 business days after the Terms Sheet has been submitted to the Developer for completion (if the Developer has not submitted yet)
* Assigned To: Relationship Manager. If no Relationship Manager assigned, Action Card is assigned to the UPL Junior with the least pending Action Cards.
* Related Action: None
* Dependency: None

**Action Name: Terms Sheet Review**

Action ID: AC19

* Trigger: When the Developer submits the Terms Sheet (whether for the first time or a new version)
* Assigned To: UPL Junior
  + Distribution: UPL Junior with the least pending Action Cards
* Related Action: Terms Sheet (Opens Terms Sheet section in Project Detail Action Area. The Terms Sheet can be opened and Confirmed whether executed or not)
* Dependency: None

**Action Name: Choose Investor**

Action ID: AC20

* Trigger: When the Developer submits the Terms Sheet (whether for the first time or a new version) or when an Investor Declines.
* Assigned To: UPL Senior
  + Distribution: UPL Senior in charge of choosing an investor
* Related Action: Choose Investor (opens Choose Investor action in the Project Detail page action area. Also pulls up message window to send Initial Submission Package link and message template which can be customized to the developer)
* Dependency: None

**Action Name: Executive Review**

Action ID: AC21

* Trigger: After an Investor Accepts the Project after reviewing the Initial Submission Package
* Assigned To: UPL Executive
  + Distribution: UPL Executive in charge of Acquisition Executive Approvals
* Related Action: Executive Review (opens up Review in Project Detail Action Area for the UPL Executive to Approve, Decline, or Maybe).
* Dependency: None

**Action Name: Request Remaining Files**

Action ID: AC22

* Trigger: After a UPL Executive Approves in the Executive Review
* Assigned To: UPL Junior
  + Distribution: UPL Junior with the least pending action cards
* Related Action: Request Files (opens a message window with the default Request 40 Files message, link, and the ability to customize the message)
* Dependency: None

**Action Name: Review Remaining Files**

Action ID: AC23

* Trigger: After a Developer Submits the Remaining Files
* Assigned To: UPL Junior
  + Distribution: UPL Junior with the least pending action cards
* Related Action: Review Files (opens Remaining Files Review section in the Project Detail Page action area)
* Dependency: None

**Action Name: Create PSA**

Action ID: AC24

* Trigger: After Remaining Files are approved
* Assigned To: UPL Junior
  + Distribution: UPL Junior with the least pending action cards
* Related Action: Create PSA (opens Create PSA section in Project Detail Page action area)
* Dependency: None

**Action Name: Send PSA to Developer**

Action ID: AC25

* Trigger: After Remaining Files are approved
* Assigned To: UPL Junior
  + Distribution: UPL Junior with the least pending action cards
* Related Action: Send PSA (Opens message window with the template Send PSA Message and link - message can be edited)
* Dependency: Dependent on Create PSA (AC23)

**Action Name: FU with Developer on PSA #1**

Action ID: AC26

* Trigger: 3 business days after the PSA has been submitted to the Developer for completion (if the Developer has not submitted yet)
* Assigned To: Relationship Manager. If no Relationship Manager assigned, Action Card is assigned to the UPL Junior with the least pending Action Cards.
* Related Action: None
* Dependency: None

**Action Name: FU with Developer on PSA #2**

Action ID: AC27

* Trigger: 10 business days after the PSA has been submitted to the Developer for completion (if the Developer has not submitted yet)
* Assigned To: Relationship Manager. If no Relationship Manager assigned, Action Card is assigned to the UPL Junior with the least pending Action Cards.
* Related Action: None
* Dependency: None

**Action Name: Confirm Developer PSA**

Action ID: AC28

* Trigger: After the Developer submits a PSA
* Assigned To: UPL Junior
  + Distribution: UPL Junior with the least pending action cards
* Related Action: Review PSA (opens Review PSA action in the Project Detail page action area)
* Dependency: None

**Action Name: Submit PSA to Investor**

Action ID: AC29

* Trigger: After the the Developer PSA has been confirmed
* Assigned To: UPL Executive
  + Distribution: UPL Senior assigned with submitting PSA’s to Investors
* Related Action: Send PSA (Opens a message window with a default message which can be customized and a link)
* Dependency: None

**Action Name: Confirm Investor PSA**

Action ID: AC30

* Trigger: After the the Investor submits the completed PSA
* Assigned To: UPL Executive
  + Distribution: UPL Executive assigned with confirming PSA’s
* Related Action: Confirm PSA (opens Confirm PSA action in the Project Detail page action area. Once confirmed, project moves to Construction.)
* Dependency: None

Automated Emails & Email Templates

Email templates should be managed inside the system settings, accessible only by the Website Administrator.

**Email Templates Include:**

1. To Developers
   1. Public Project Submission Confirmation
   2. Private Project Submission Confirmation
   3. Project Submission Discovery Decline
   4. Project Submission Discovery Maybe
   5. Private Project Submission Discovery Approved
   6. Public Project Submission Discovery Approved & Welcome Email
   7. Notice of Password Reset
   8. Security Question Attempts Limit Exceeded
   9. Send NDA
   10. Initial Submission Package FU #1
   11. Initial Submission Package FU #2
   12. Initial Submission Package Not Executed Feedback
   13. Initial Submission Package Decline Feedback
   14. Due Diligence Declined
   15. Due Diligence Maybe
   16. Send Terms Sheet
   17. Terms Sheet FU #1
   18. Terms Sheet FU #2
   19. Request Remaining Files
   20. Send PSA to Developer
   21. PSA FU #1
   22. PSA FU #2
   23. Send PSA to Investor
2. To Investors
   1. Send Initial Submission Package to Investor
   2. Send PSA to Investor
3. To UPL Employees
   1. New Action Card Assigned

**Email From Address**

* Emails coming from the system will come from the email address [notifications@upl-energy.com](mailto:notifications@upl-energy.com).
* When a UPL Employee sends a message from within the system the email should include:
  + Front Name: [Full Name] (UPL Platform)
  + Email Address: notifications@upl-energy.com

Automated Documents Creation

Below is a recap of the documents which need to be automatically generated from the system.

1. NDA (for Developer) (to execute electronically)
2. Terms Sheet (for Developer) (to execute electronically)
3. PSA (for Developer and for Investor) (to execute electronically)

Note that after executing one of the documents above, the user (UPL Employee or Developer) may download a PDF version of the executed document.

Document Content: The Developer’s name and related information will come from the database, but rest of the content and legal statements/text is going to be fixed (hard coded). It will not come from the database and the employee will not be able to manage this from system themselves.

Note: The NDA, Terms Sheet, and PSA are signed by the Developer inside of the system via esignature.

Technology Considerations

**Technology Specifications Overview**

* Programming Language: PHP
* Mobile Responsive: No

**Hosting Requirements**

* Server Configuration:
* Server Space Required:
* Further Server Requirements:

**Speed Considerations**

As the system will be used regularly by Developers and hourly by UPL Employees, the system should be optimized for very fast load times.

**Document Storage**

Documents will be stored on the same server as the general system. Consideration should be taken for the possiility of documents being stored on an external server in the future (ex: Amazon S3)

**Automated Backup**

Amazon S3 should be used for Daily Automated Backups. A version of the system should be stored Daily, Weekly, Monthly, and Quarterly.

For example, on Wednesday July 15, 2015 there would be the following Backups (source code, databases, and files) for:

\* July 14, 2015 (Daily)

\* July 11, 2015 (Sunday) (Weekly)

\* June 30, 2015 (Quarterly)

Documentation

Documentation is not included in v1.1 of this project. The following should be completed in the future, though is not included in this version of the project.

* UPL Employee User Manual from a user’s standpoint [Not included]
* Final Technical Specifications Overview [Not included]
* Final Flow Chart [Not included]

Phases Considerations

As noted, this Specifications Overview profiles version 1.1 of the UPL Platform. It should be noted and understood that there will most certainly be small updates to the system (ex: v1.2, v1.3, etc) as well as major updates to the system (ex: v2.1, 3.1, etc).

The system should be built in a way which accounts for further expansion of the platform. While accommodating future features can truly only be done when knowing those features and actually building them, best practices should be followed to ensure the ability for future agile development and feature upgrades.