



Softdocs SC, LLC

System and Organization Controls Report (SOC 3)

Independent Report of the Controls to meet the criteria for the Security, Availability, and Confidentiality categories for the period of August 1, 2022 through July 31, 2023.



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TABLE OF CONTENTS

ASSERTION OF SOFTDOCS SC, LLC MANAGEMENT	1
INDEPENDENT SERVICE AUDITOR’S REPORT	3
Scope.....	4
Service Organization’s Responsibilities	4
Service Auditor’s Responsibilities.....	4
Inherent Limitations.....	5
Opinion	5
SOFTDOCS SC, LLC’S DESCRIPTION OF ITS CONTENT MANAGEMENT SOLUTION SYSTEM	6
Section A: Softdocs SC, LLC’s Description of the Boundaries of Its Content Management Solution System	7
Services Provided.....	7
Infrastructure.....	7
Software	8
People.....	9
Data.....	9
Processes and Procedures	10
Section B: Principal Service Commitments and System Requirements.....	12
Regulatory Commitments	12
Contractual Commitments	12
System Design	12

ASSERTION OF SOFTDOCS SC, LLC MANAGEMENT

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ASSERTION OF SOFTDOCS SC, LLC MANAGEMENT

We are responsible for designing, implementing, operating, and maintaining effective controls within Softdocs SC, LLC's content management solution system (system) throughout the period August 1, 2022, to July 31, 2023, to provide reasonable assurance that Softdocs SC, LLC's service commitments and system requirements relevant to security, availability, and confidentiality were achieved. Our description of the boundaries of the system is presented in section A and identifies the aspects of the system covered by our assertion.

We have performed an evaluation of the effectiveness of the controls within the system throughout the period August 1, 2022, to July 31, 2023, to provide reasonable assurance that Softdocs SC, LLC's service commitments and system requirements were achieved based on the trust services criteria relevant to security, availability, and confidentiality (applicable trust services criteria) set forth in TSP section 100, *2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy* (AICPA, *Trust Services Criteria*). Softdocs SC, LLC's objectives for the system in applying the applicable trust services criteria are embodied in its service commitments and system requirements relevant to the applicable trust services criteria. The principal service commitments and system requirements related to the applicable trust services criteria are presented in section B.

There are inherent limitations in any system of internal control, including the possibility of human error and the circumvention of controls. Because of these inherent limitations, a service organization may achieve reasonable, but not absolute, assurance that its service commitments and system requirements are achieved.

We assert that the controls within the system were effective throughout the period August 1, 2022, to July 31, 2023, to provide reasonable assurance that Softdocs SC, LLC's service commitments and system requirements were achieved based on the applicable trust services criteria.

INDEPENDENT SERVICE AUDITOR'S REPORT

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INDEPENDENT SERVICE AUDITOR'S REPORT

Adam Park
Chief Executive Officer
Softdocs SC, LLC
807 Bluff Rd.
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Scope

We have examined Softdocs SC, LLC's accompanying assertion titled "Assertion of Softdocs SC, LLC Management" (assertion) that the controls within Softdocs SC, LLC's content management solution system (system) were effective throughout the period August 1, 2022, to July 31, 2023, to provide reasonable assurance that Softdocs SC, LLC's service commitments and system requirements were achieved based on the trust services criteria relevant to security, availability, and confidentiality (applicable trust services criteria) set forth in TSP section 100, *2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy* (AICPA, *Trust Services Criteria*).

Service Organization's Responsibilities

Softdocs SC, LLC is responsible for its service commitment and system requirements and for designing, implementing, and operating effective controls within the system to provide reasonable assurance that Softdocs SC, LLC's service commitments and system requirements were achieved. Softdocs SC, LLC has also provided the accompanying assertion about the effectiveness of controls within the system. When preparing its assertion, Softdocs SC, LLC is responsible for selecting, and identifying in its assertion, the applicable trust services criteria and for having a reasonable basis for its assertion by performing an assessment of the effectiveness of the controls within the system.

Service Auditor's Responsibilities

Our responsibility is to express an opinion, based on our examination, on whether management's assertion that controls within the system were effective throughout the period to provide reasonable assurance that the service organization's service commitments and system requirements were achieved based on the applicable trust services criteria. Our examination was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants. Those standards require that we plan and perform our examination to obtain reasonable assurance about whether management's assertion is fairly stated, in all material respects. We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our opinion.

Our examination included:

- Obtaining an understanding of the system and the service organization's service commitments and system requirements
- Assessing the risks that controls were not effective to achieve Softdocs SC, LLC's service commitments and system requirements based on the applicable trust services criteria

- Performing procedures to obtain evidence about whether controls within the system were effective to achieve Softdocs SC, LLC’s service commitments and system requirements based on the applicable trust services criteria

Our examination also included performing such other procedures as we considered necessary in the circumstances.

We are required to be independent and to meet our other ethical responsibilities in accordance with relevant ethical requirements relating to the engagement.

Inherent Limitations

There are inherent limitations in the effectiveness of any system of internal control, including the possibility of human error and the circumvention of controls.

Because of their nature, controls may not always operate effectively to provide reasonable assurance that the service organization’s service commitments and system requirements were achieved based on the applicable trust services criteria. Also, the projection to the future of any conclusions about the effectiveness of controls is subject to the risk that controls may become inadequate because of changes in conditions or that the degree of compliance with the policies or procedures may deteriorate.

Opinion

In our opinion, management’s assertion that the controls within Softdocs SC, LLC’s content management solution system were effective throughout the period August 1, 2022, to July 31, 2023, to provide reasonable assurance that Softdocs SC, LLC’s service commitments and system requirements were achieved based on the applicable trust services criteria is fairly stated, in all material respects.



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November 1, 2023

SOFTDOCS SC, LLC'S DESCRIPTION OF ITS CONTENT MANAGEMENT SOLUTION SYSTEM

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SECTION A:
SOFTDOCS SC, LLC'S DESCRIPTION OF THE BOUNDARIES OF ITS CONTENT
MANAGEMENT SOLUTION SYSTEM

Services Provided

Softdocs SC, LLC (Softdocs) is an enterprise content management (ECM) solutions provider located in Columbia, South Carolina. Softdocs is a leading provider of process automation and document management solutions for the public sector. The cloud-deployed, scalable Etrieve platform enables organizations to modernize operations and drive institutional success. A professional services team is in place to assist customers with implementations and training. Softdocs' process provides implementation consulting, system migrations, records conversion, training, and support for its customers. The company's offering is a browser-based program through which users complete every action, including scanning and system administration, in a single browser window on any device without needing locally installed software.

The company begins relationships with customers via word of mouth or advertising. Once a customer signs a contract, the onboarding process is initiated, which includes client registration, pre-discovery, hardware configuration, discovery and documentation, admin training, end-user training, and post-implementation support.

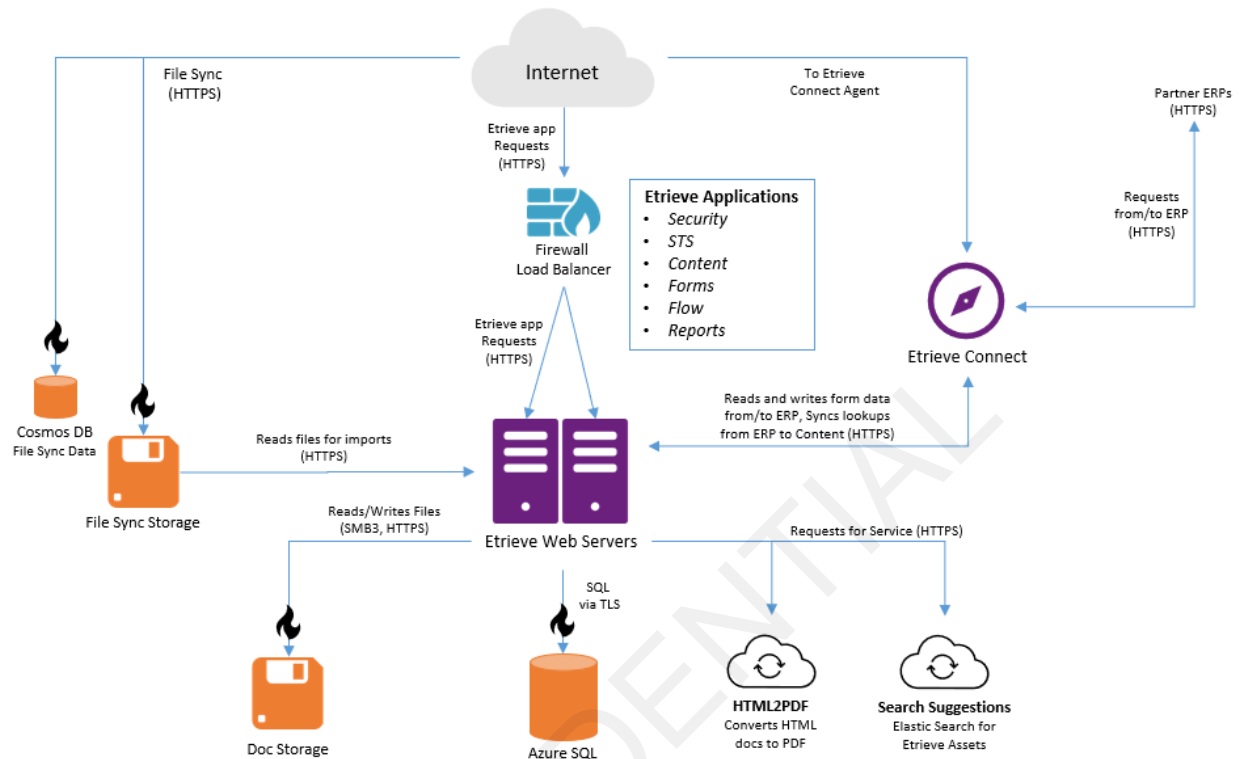
The Etrieve platform is a fully browser-based ECM solution that combines document management, electronic forms, and workflow components into a single, scalable platform. The platform has a fully functional component-based architecture that is flexible to meet the needs of the public sector. The primary features of the Etrieve platform include the following:

- Document management
- Electronic forms
- Workflow automation
- Print customization

Infrastructure

The organization maintains the following network diagram to illustrate its infrastructure.

Etrieve Cloud in Azure



Software

The following critical software are used to provide Softdocs' services:

- Altaro Virtual Machine (VM) Backup
- Ardira
- Ascensus
- Atalasoft
- Azure Defender
- Azure DevOps
- Azure Storage Explorer
- Burp Suite
- CodeTwo
- ConnectWise
- CPQ
- Datadog
- Disk2vhd
- Docker
- Docotic
- Emailable
- Eraser
- Axcient
- Gong
- Grafana
- HelloSign
- IIS Crypto
- Kantata
- Loom
- Microsoft 365
- Mend.io
- MFCMAPI
- Netwrix Auditor
- PandaDoc
- Pardot
- EaseUS Partition Master
- Postman
- Quest Rapid Recovery
- Salesforce
- Service Cloud Voice
- Sophos Endpoint Advanced with Intercept X
- Sophos Intercept X Mobile
- Visual Studio
- Visual Studio Code
- Windows Server 2012 R2
- Windows Server 2016 Datacenter
- Windows Server 2016 Standard
- Windows Server 2019

People

The company is incorporated in Delaware and is registered and operates in South Carolina as a foreign corporation. A board of directors is in place and meets quarterly to oversee operations. The board members consist of the following:

- Chairman of the Board – Ridgemont Equity Partners
- Board Member – Ridgemont Equity Partners
- Board Member – Ridgemont Equity Partners
- Board Member – Former CFO
- Board Member – Former CEO

The organization is organized into a hierarchical structure and has an established Executive Leadership team that exercises broad oversight over the organization.



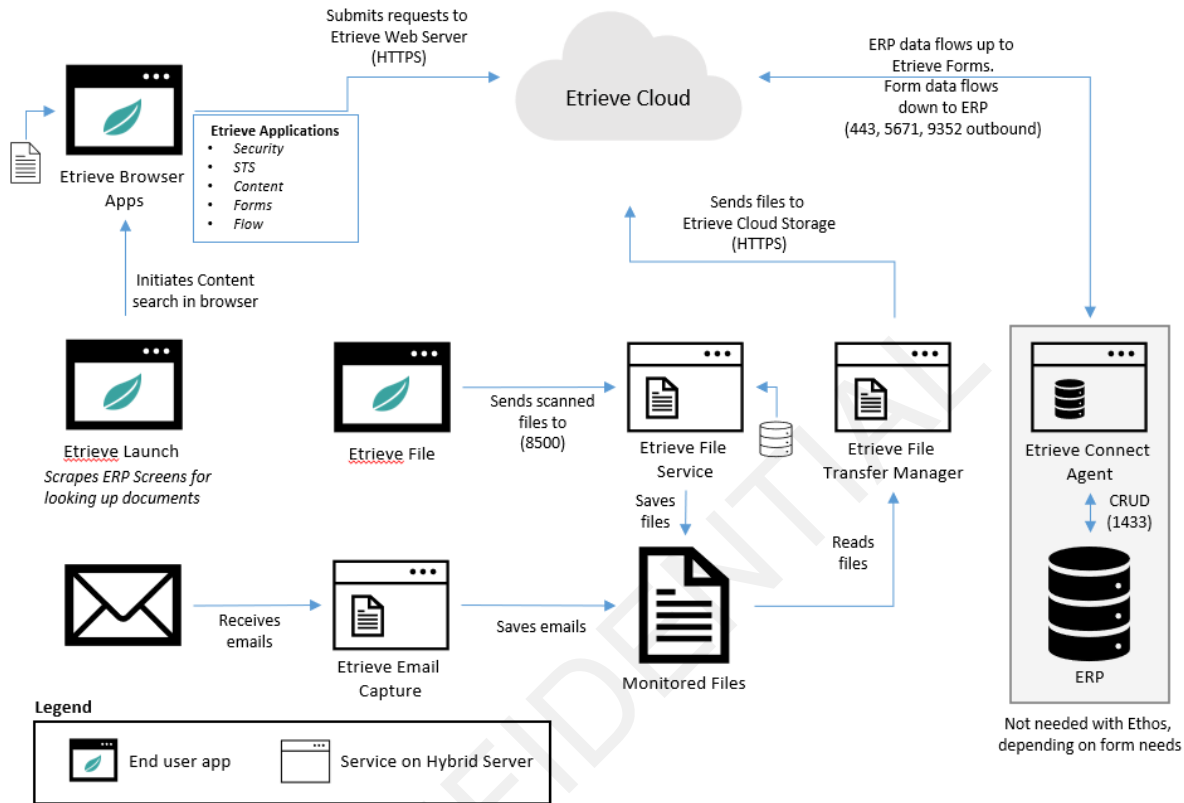
Data

Data types used generally include student and employee data, including the following:

- First, middle, and last names
- Date of birth
- Social Security and Taxpayer Identification numbers
- Student or employee number
- Email
- Address
- Payroll
- Driver's license or state ID card

Organizations are able to create forms that could contain various information not on the list as they see fit, although Softdocs discourages the capture of certain information, such as credit card numbers and related data. The following diagram illustrates the flow of data through Etrieve.

Etrieve Applications and Data Flow



TLS 1.2 or higher is used for data in transit. Cloudflare limits the protocols in use to TLS 1.2 or higher. National Institute of Standards and Technology (NIST) guidance is followed for encryption methods.

Processes and Procedures

Management has developed and communicated procedures to guide the provision of the organization's services. Changes to procedures are performed annually and authorized by management. These procedures cover the following key security life cycle areas:

- Data classification
- Categorization of information
- Assessment of the business impact resulting from proposed security approaches
- Selection, documentation, and implementation of security controls
- Performance of annual management self-assessments to assess security controls
- Authorization, changes to, and termination of information system access
- Monitoring security controls
- Management of access and roles
- Maintenance and support of the security system and necessary backup and offline storage

- Incident response
- Maintenance of restricted access to system configurations, user functionality, master passwords, powerful utilities, and security devices

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SECTION B: PRINCIPAL SERVICE COMMITMENTS AND SYSTEM REQUIREMENTS

Regulatory Commitments

State and federal laws govern the organization's data retention policies and practices. The organization may handle customers' personally identifiable information (PII) and protected health information (PHI) if a client enters it. Generally, confidential data is stored within customers' environments; however, when PII and PHI enter the Softdocs system, the data is encrypted and stored on a Health Insurance Portability and Accountability Act (HIPAA) level 2-compliant drive.

Contractual Commitments

The Licensing Package contract communicates the responsibilities related to confidentiality and the client's role. The company commits to a 99.5% monthly uptime, excluding scheduled maintenance events by Softdocs or Azure. Availability is monitored to ensure service-level agreements (SLAs) are met.

System Design

Softdocs designs its enterprise content management solution system to meet its regulatory and contractual commitments. These commitments are based on the services that Softdocs provides to its clients, the laws and regulations that govern the provision of those services, and the financial, operational, and compliance requirements that Softdocs has established for its services. Softdocs establishes operational requirements in its system design that support the achievement of its regulatory and contractual commitments. These requirements are communicated in Softdocs' system policies and procedures, system design documentation, and contracts with clients.