

# Nebraska Department of Health and Human Services

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**RFP# 6249 Z1**

## Licensure Information System

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### Proposal from GL Solutions



**Government Licensing Solutions  
to Streamline Regulatory Agencies**

**Submission Deadline: 2:00 p.m. CT, May 11, 2019**



**Contact Information:**

Bill Moseley, CEO

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GL Solutions

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## Cover Letter

GL Solutions  
P.O. Box 591  
Bend, OR 97709  
July

RE: RFP 6429 Z1 – Licensure Information System

Response Review Committee:

GL Solutions is pleased to submit this response to Nebraska Department of Health and Human Services (NE DHHS) for a Licensure Information System. I am the President and CEO of GL Solutions and the person designated to answer questions about this response. You will find my contact information on the cover page of this response.

GL Solutions is a privately-owned company with one location in Bend, Oregon and 44 staff members. Since our founding over 20 years ago, we have implemented our highly flexible system to support licensing, permitting, compliance, certification, inspection, credentialing, registration, continuing education and enforcement activities in various professional regulation, health and safety environments for over 40 government agencies in 24 states. We have developed and supported systems for agencies in Gaming Services, Emergency Services, State Departments of Public Health, Commerce, Protective and Justice Services, as well as State Boards of Medicine, Nursing, Veterinary Medicine, Licensure, Pharmacy and Dentistry—to name only a few.

GL Solutions develops and supports GL Suite, our configurable off-the-shelf software package for automating the operations of regulatory agencies. GL Solutions is dedicated to providing outstanding information systems that improve the organizational productivity of state government agencies. GL Solutions stands apart in the industry with its ability to deliver all desired functionality, at an affordable price, in a timeframe that meets even the tightest of schedules. Founded in 1997 by former government licensing administrators, GL Solutions is built on a solid bedrock of government regulatory expertise and an unwavering commitment to improving the productivity of government organizations.

GL Suite software is a fully-integrated government licensing software solution with the configurable versatility to organize the processes and data of each regulatory agency. GL Suite will simplify your procedures and handle every aspect of regulation to meet the agencies' missions, including application intake, review, inspection, investigation, permit status, and compliance activities. The product components are specified and configured for each agency, to build the specialized solutions necessary to guide each agency's many stakeholders. Its intuitive design and web-based interface help our customers streamline every process and activity, eliminating the need for many manual processes.



GL Solutions puts a focus on integrated guidance in all aspects of our experience. Our integrated guidance begins with the initiation of the project, ensuring both our staff and clients are aligned and coordinated to ensure a successful execution. Integrated guidance is also built directly into the application, guiding Agency staff through specific processes and procedures.

We have a proven record of accomplishment for meeting project goals and delivering all agreed upon components of software implementation. We specialize in creating systems for government regulatory agencies. Using our experience, we will work with you to identify and achieve your goals. To support our effort, we follow a time-tested, effective risk management methodology to identify, control and mitigate potential risks. The GL Solutions Project Management Methodology is a well-thought-out and effective process that has been highly successful for government regulatory agencies of all types and sizes.

Our software is industry-tested, highly flexible and user-friendly. GL Suite can meet all of your system and technical requirements, configuration specifications and reporting needs. It is a web-based software application that includes an intuitive user interface displayed in a web browser. The GL Suite software is backed by our support teams, our tech support plans, and our unparalleled, comprehensive GL Simple support plans, including a training program conducted in an organized and structured manner that will meet all of your agency's needs.

GL Solutions has substantial experience, a record of success, a talented team of employees and a mature, comprehensive software solution. We appreciate the opportunity to offer this response to Nebraska Department of Health and Human Services in your pursuit of a new Licensure Information System. We are pleased to be considered as a candidate and look forward to the prospect of working with you to create an efficient system to support your daily efforts. Thank you for considering GL Solutions on this important project.

All the information provided in this response is true and accurate, and I am the individual authorized to negotiate on behalf of GL Solutions. Contact me using the information included on the cover page.

Sincerely,

A handwritten signature in black ink, appearing to read "Bill Moseley". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Bill Moseley  
President and CEO, GL Solutions

## Terms and Conditions

### I. TERMS AND CONDITIONS

**Bidders should complete Sections II through VI as part of their proposal.** Bidder should read the Terms and Conditions and should initial either accept, reject, or reject and provide alternative language for each clause. The bidder should also provide an explanation of why the bidder rejected the clause or rejected the clause and provided alternate language. By signing the solicitation, bidder is agreeing to be legally bound by all the accepted terms and conditions, and any proposed alternative terms and conditions submitted with the proposal. The State reserves the right to negotiate rejected or proposed alternative language. If the State and bidder fail to agree on the final Terms and Conditions, the State reserves the right to reject the proposal. The State of Nebraska is soliciting proposals in response to this solicitation. The State of Nebraska reserves the right to reject proposals that attempt to substitute the bidder's commercial contracts and/or documents for this solicitation.

The bidders should submit with their proposal any license, user agreement, service level agreement, or similar documents that the bidder wants incorporated in the Contract. The State will not consider incorporation of any document not submitted with the bidder's proposal as the document will not have been included in the evaluation process. These documents shall be subject to negotiation and will be incorporated as addendums if agreed to by the Parties.

If a conflict or ambiguity arises after the Addendum to Contract Award have been negotiated and agreed to, the Addendum to Contract Award shall be interpreted as follows:

1. If only one Party has a particular clause then that clause shall control;
2. If both Parties have a similar clause, but the clauses do not conflict, the clauses shall be read together;
3. If both Parties have a similar clause, but the clauses conflict, the State's clause shall control.

#### A. GENERAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
<i>JZ</i>			

The contract resulting from this solicitation shall incorporate the following documents:

4. Request for Proposal and Addenda;
5. Amendments to the solicitation;
6. Questions and Answers;
7. Bidder's proposal (Solicitation and properly submitted documents);
8. The executed Contract and Addendum One to Contract, if applicable; and,
9. Amendments/Addendums to the Contract.

These documents constitute the entirety of the contract.

Unless otherwise specifically stated in a future contract amendment, in case of any conflict between the incorporated documents, the documents shall govern in the following order of preference with number one (1) receiving preference over all other documents and with each lower numbered document having preference over any higher numbered document: 1) Amendment to the executed Contract with the most recent dated amendment having the highest priority, 2) executed Contract and any attached Addenda, 3) Amendments to solicitation and any Questions and Answers, 4) the original solicitation document and any Addenda, and 5) the Bidder's submitted Proposal.

Any ambiguity or conflict in the contract discovered after its execution, not otherwise addressed herein, shall be resolved in accordance with the rules of contract interpretation as established in the State of Nebraska.

**B. NOTIFICATION**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

Contractor and State shall identify the contract manager who shall serve as the point of contact for the executed contract.

Communications regarding the executed contract shall be in writing and shall be deemed to have been given if delivered personally or mailed, by U.S. Mail, postage prepaid, return receipt requested, to the parties at their respective addresses set forth below, or at such other addresses as may be specified in writing by either of the parties. All notices, requests, or communications shall be deemed effective upon personal delivery or five (5) calendar days following deposit in the mail.

Either party may change its address for notification purposes by giving notice of the change, and setting forth the new address and an effective date.

**C. BUYER'S REPRESENTATIVE**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

The State reserves the right to appoint a Buyer's Representative to manage [or assist the Buyer in managing] the contract on behalf of the State. The Buyer's Representative will be appointed in writing, and the appointment document will specify the extent of the Buyer's Representative authority and responsibilities. If a Buyer's Representative is appointed, the Contractor will be provided a copy of the appointment document, and is required to cooperate accordingly with the Buyer's Representative. The Buyer's Representative has no authority to bind the State to a contract, amendment, addendum, or other change or addition to the contract.

**D. GOVERNING LAW (Statutory)**

Notwithstanding any other provision of this contract, or any amendment or addendum(s) entered into contemporaneously or at a later time, the parties understand and agree that, (1) the State of Nebraska is a sovereign state and its authority to contract is therefore subject to limitation by the State's Constitution, statutes, common law, and regulation; (2) this contract will be interpreted and enforced under the laws of the State of Nebraska; (3) any action to enforce the provisions of this agreement must be brought in the State of Nebraska per state law; (4) the person signing this contract on behalf of the State of Nebraska does not have the authority to waive the State's sovereign immunity, statutes, common law, or regulations; (5) the indemnity, limitation of liability, remedy, and other similar provisions of the final contract, if any, are entered into subject to the State's Constitution, statutes, common law, regulations, and sovereign immunity; and, (6) all terms and conditions of the final contract, including but not limited to the clauses concerning third party use, licenses, warranties, limitations of liability, governing law and venue, usage verification, indemnity, liability, remedy or other similar provisions of the final contract are entered into specifically subject to the State's Constitution, statutes, common law, regulations, and sovereign immunity.

The Parties must comply with all applicable local, state and federal laws, ordinances, rules, orders, and regulations.

**E. BEGINNING OF WORK**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

The bidder shall not commence any billable work until a valid contract has been fully executed by the State and the awarded bidder. The awarded bidder will be notified in writing when work may begin.

**F. AMENDMENT**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

This Contract may be amended in writing, within scope, upon the agreement of both parties.

**G. CHANGE ORDERS OR SUBSTITUTIONS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

The State and the Contractor, upon the written agreement, may make changes to the contract within the general scope of the solicitation. Changes may involve specifications, the quantity of work, or such other items as the State may find necessary or desirable. Corrections of any deliverable, service, or work required pursuant to the contract shall not be deemed a change. The Contractor may not claim forfeiture of the contract by reasons of such changes.

The Contractor shall prepare a written description of the work required due to the change and an itemized cost sheet for the change. Changes in work and the amount of compensation to be paid to the Contractor shall be determined in accordance with applicable unit prices if any, a pro-rated value, or through negotiations. The State shall not incur a price increase for changes that should have been included in the Contractor's proposal, were foreseeable, or result from difficulties with or failure of the Contractor's proposal or performance.

No change shall be implemented by the Contractor until approved by the State, and the Contract is amended to reflect the change and associated costs, if any. If there is a dispute regarding the cost, but both parties agree that immediate implementation is necessary, the change may be implemented, and cost negotiations may continue with both Parties retaining all remedies under the contract and law.

In the event any product is discontinued or replaced upon mutual consent during the contract period or prior to delivery, the State reserves the right to amend the contract or purchase order to include the alternate product at the same price.

**\*\*\*Contractor will not substitute any item that has been awarded without prior written approval of SPB\*\*\***

**H. VENDOR PERFORMANCE REPORT(S)**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
		<i>JZ</i>	Vendor shall have an opportunity to respond to any such report and such response shall be included in the Vendor performance report(s).

The State may document any instance(s) of products or services delivered or performed which exceed or fail to meet the terms of the purchase order, contract, and/or solicitation specifications. The State Purchasing Bureau may contact the Vendor regarding any such report. Vendor performance report(s) will become a part of the permanent record of the Vendor.

**I. NOTICE OF POTENTIAL CONTRACTOR BREACH**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
<i>JZ</i>			

If Contractor breaches the contract or anticipates breaching the contract, the Contractor shall immediately give written notice to the State. The notice shall explain the breach or potential breach, a proposed cure, and may include a request for a waiver of the breach if so desired. The State may, in its discretion, temporarily or permanently waive the breach. By granting a waiver, the State does not forfeit any rights or remedies to which the State is entitled by law or equity, or pursuant to the provisions of the contract. Failure to give immediate notice, however, may be grounds for denial of any request for a waiver of a breach.

**J. BREACH**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:



		<i>JZ</i>	<b>Delete the following</b> , “and hold the Contractor responsible for any excess cost occasioned thereby. OR In case of breach by the Contractor, the State may, without unreasonable delay, make a good faith effort to make a reasonable purchase or contract to purchased goods in substitution of those due from the contractor. The State may recover from the Contractor as damages the difference between the costs of covering the breach. Notwithstanding any clause to the contrary, the State may also recover the contract price together with any incidental or consequential damages defined in UCC Section 2-715, but less expenses saved in consequence of Contractor’s breach.”
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Either Party may terminate the contract, in whole or in part, if the other Party breaches its duty to perform its obligations under the contract in a timely and proper manner. Termination requires written notice of default and a thirty (30) calendar day (or longer at the non-breaching Party’s discretion considering the gravity and nature of the default) cure period. Said notice shall be delivered by Certified Mail, Return Receipt Requested, or in person with proof of delivery. Allowing time to cure a failure or breach of contract does not waive the right to immediately terminate the contract for the same or different contract breach which may occur at a different time. In case of default of the Contractor, the State may contract the service from other sources and hold the Contractor responsible for any excess cost occasioned thereby. OR In case of breach by the Contractor, the State may, without unreasonable delay, make a good faith effort to make a reasonable purchase or contract to purchased goods in substitution of those due from the contractor. The State may recover from the Contractor as damages the difference between the costs of covering the breach. Notwithstanding any clause to the contrary, the State may also recover the contract price together with any incidental or consequential damages defined in UCC Section 2-715, but less expenses saved in consequence of Contractor’s breach.

The State’s failure to make payment shall not be a breach, and the Contractor shall retain all available statutory remedies and protections.

**K. NON-WAIVER OF BREACH**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
<i>JZ</i>			

The acceptance of late performance with or without objection or reservation by a Party shall not waive any rights of the Party nor constitute a waiver of the requirement of timely performance of any obligations remaining to be performed.

**L. SEVERABILITY**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
<i>JZ</i>			

If any term or condition of the contract is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and conditions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the contract did not contain the provision held to be invalid or illegal.

**M. INDEMNIFICATION**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

**1. GENERAL**

The Contractor agrees to defend, indemnify, and hold harmless the State and its employees, volunteers, agents, and its elected and appointed officials (“the indemnified parties”) from and against any and all third party claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses (“the claims”), sustained or asserted against the State for personal injury, death, or property loss or damage, arising out of, resulting from, or attributable to the willful misconduct, negligence, error, or omission of the Contractor, its employees, Subcontractors, consultants, representatives, and agents, resulting from this contract, except to the extent such Contractor liability is attenuated by any action of the State which directly and proximately contributed to the claims.

**2. INTELLECTUAL PROPERTY**

The Contractor agrees it will, at its sole cost and expense, defend, indemnify, and hold harmless the indemnified parties from and against any and all claims, to the extent such claims arise out of, result from, or are attributable to, the actual or alleged infringement or misappropriation of any patent, copyright, trade secret, trademark, or confidential information of any third party by the Contractor or its employees, Subcontractors, consultants, representatives, and agents; provided, however, the State gives the Contractor prompt notice in writing of the claim. The Contractor may not settle any infringement claim that will affect the State’s use of the Licensed Software without the State’s prior written consent, which consent may be withheld for any reason.

If a judgment or settlement is obtained or reasonably anticipated against the State’s use of any intellectual property for which the Contractor has indemnified the State, the Contractor shall, at the Contractor’s sole cost and expense, promptly modify the item or items which were determined to be infringing, acquire a license or licenses on the State’s behalf to provide the necessary rights to the State to eliminate the infringement, or provide the State with a non-infringing substitute that provides the State the same functionality. At the State’s election, the actual or anticipated judgment may be treated as a breach of warranty by the Contractor, and the State may receive the remedies provided under this solicitation.

**3. PERSONNEL**

The Contractor shall, at its expense, indemnify and hold harmless the indemnified parties from and against any claim with respect to withholding taxes, worker’s compensation, employee benefits, or any other claim, demand, liability, damage, or loss of any nature relating to any of the personnel, including subcontractor’s and their employees, provided by the Contractor.

**4. SELF-INSURANCE**

The State of Nebraska is self-insured for any loss and purchases excess insurance coverage pursuant to Neb. Rev. Stat. § 81-8,239.01 (Reissue 2008). If there is a presumed loss under the provisions of this agreement, Contractor may file a claim with the Office of Risk Management pursuant to Neb. Rev. Stat. §§ 81-8,829 – 81-8,306 for review by the State Claims Board. The State retains all rights and immunities under the State Miscellaneous (Section 81-8,294), Tort (Section 81-8,209), and Contract Claim Acts (Section 81-8,302), as

outlined in Neb. Rev. Stat. § 81-8,209 et seq. and under any other provisions of law and accepts liability under this agreement to the extent provided by law.

**5. ALL REMEDIES AT LAW**

Nothing in this agreement shall be construed as an indemnification by one Party of the other for liabilities of a Party or third parties for property loss or damage or death or personal injury arising out of and during the performance of this contract. Any liabilities or claims for property loss or damages or for death or personal injury by a Party or its agents, employees, contractors or assigns or by third persons, shall be determined according to applicable law.

The Parties acknowledge that Attorney General for the State of Nebraska is required by statute to represent the legal interests of the State, and that any provision of this indemnity clause is subject to the statutory authority of the Attorney General.

**N. ATTORNEY'S FEES**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
		<i>JZ</i>	In the event of any litigation, neither party shall be responsible for the attorney expenses of the other party.

In the event of any litigation, appeal, or other legal action to enforce any provision of the contract, the Parties agree to pay all expenses of such action, as permitted by law and if ordered by the court, including attorney's fees and costs, if the other Party prevails.

**O. PERFORMANCE BOND**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
<i>JZ</i>			

The Contractor may be required to supply a bond executed by a corporation authorized to contract surety in the State of Nebraska, which shall be valid through implementation and three months after complete implementation and returned with written approval from DHHS. The amount of the bond must be for the contract amount for the implementation period. The bond will guarantee that the Contractor will faithfully perform all requirements, terms, and conditions of the contract.

**P. LIQUIDATED DAMAGES**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
		<i>JZ</i>	Contract shall be subject to liquidated damages only in the event where Contractor was exclusively responsible for the delay without any delay caused by State on the deliverable or a predecessor deliverable.

Failure to meet the timeframes for incident resolution during the Pre-Implementation and Post-Implementation or Operations and Maintenance phases as agreed upon by the parties may result in an assessment of liquidated damages due the State as specified in Attachment Five. Contractor will be notified in writing when liquidated damages will commence. Liquidated damages will be withheld from a quarterly Post-Implementation or Operations and Maintenance payment.

**Q. ASSIGNMENT, SALE, OR MERGER**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

Either Party may assign the contract upon mutual written agreement of the other Party. Such agreement shall not be unreasonably withheld.

The Contractor retains the right to enter into a sale, merger, acquisition, internal reorganization, or similar transaction involving Contractor's business. Contractor agrees to cooperate with the State in executing amendments to the contract to allow for the transaction. If a third party or entity is involved in the transaction, the Contractor will remain responsible for performance of the contract until such time as the person or entity involved in the transaction agrees in writing to be contractually bound by this contract and perform all obligations of the contract.

**R. CONTRACTING WITH OTHER NEBRASKA POLITICAL SUB-DIVISIONS OF THE STATE OR ANOTHER STATE**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

The Contractor may, but shall not be required to, allow agencies, as defined in Neb. Rev. Stat. §81-145, to use this contract. The terms and conditions, including price, of the contract may not be amended. The State shall not be contractually obligated or liable for any contract entered into pursuant to this clause. A listing of Nebraska political subdivisions may be found at the website of the Nebraska Auditor of Public Accounts.

The Contractor may, but shall not be required to, allow other states, agencies or divisions of other states, or political subdivisions of other states to use this contract. The terms and conditions, including price, of this contract shall apply to any such contract, but may be amended upon mutual consent of the Parties. The State of Nebraska shall not be contractually or otherwise obligated or liable under any contract entered into pursuant to this clause. The State shall be notified if a contract is executed based upon this contract.

**S. FORCE MAJEURE**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within	NOTES/COMMENTS:
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		Solicitation Response (Initial)	
JZ			

Neither Party shall be liable for any costs or damages, or for default resulting from its inability to perform any of its obligations under the contract due to a natural or manmade event outside the control and not the fault of the affected Party ("Force Majeure Event"). The Party so affected shall immediately make a written request for relief to the other Party, and shall have the burden of proof to justify the request. The other Party may grant the relief requested; relief may not be unreasonably withheld. Labor disputes with the impacted Party's own employees will not be considered a Force Majeure Event.

**T. CONFIDENTIALITY**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

All materials and information provided by the Parties or acquired by a Party on behalf of the other Party shall be regarded as confidential information. All materials and information provided or acquired shall be handled in accordance with federal and state law, and ethical standards. Should said confidentiality be breached by a Party, the Party shall notify the other Party immediately of said breach and take immediate corrective action.

It is incumbent upon the Parties to inform their officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a (i)(1), which is made applicable by 5 U.S.C. 552a (m)(1), provides that any officer or employee, who by virtue of his/her employment or official position has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.

**U. OFFICE OF PUBLIC COUNSEL (Statutory)**

If it provides, under the terms of this contract and on behalf of the State of Nebraska, health and human services to individuals; service delivery; service coordination; or case management, Contractor shall submit to the jurisdiction of the Office of Public Counsel, pursuant to Neb. Rev. Stat. §§ 81-8,240 et seq. This section shall survive the termination of this contract.

**V. LONG-TERM CARE OMBUDSMAN (Statutory)**

Contractor must comply with the Long-Term Care Ombudsman Act, per Neb. Rev. Stat. §§ 81-2237 et seq. This section shall survive the termination of this contract.

**W. EARLY TERMINATION**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

The contract may be terminated as follows:

- 6. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.
- 7. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination the Contractor shall be entitled to payment, determined on a pro rata basis, for products or services satisfactorily performed or provided.
- 8. The State may terminate the contract immediately for the following reasons:
  - a. if directed to do so by statute;
  - b. Contractor has made an assignment for the benefit of creditors, has admitted in writing its inability to pay debts as they mature, or has ceased operating in the normal course of business;
  - c. a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;
  - d. fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
  - e. an involuntary proceeding has been commenced by any Party against the Contractor under any one of the chapters of Title 11 of the United States Code and (i) the proceeding has been pending for at least sixty (60) calendar days; or (ii) the Contractor has consented, either expressly or by operation of law, to the entry of an order for relief; or (iii) the Contractor has been decreed or adjudged a debtor;
  - f. a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
  - g. Contractor intentionally discloses confidential information;
  - h. Contractor has or announces it will discontinue support of the deliverable; and,
  - i. In the event funding is no longer available.

**X. CONTRACT CLOSEOUT**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
		JZ	Add to the beginning: During any GL Simple Plan and upon an appropriate service request by Licensee, Company shall provide services under a GL Simple plan for an effective and efficient transition of service with minimal disruption to the Licensee including cooperation and assistance to ensure that all Licensee data is securely transferred to Licensee, within thirty (30) calendar days of the request.

Contractor shall be responsible for end-of-contract activities prior to the completion of the contract to ensure that the transition from Contractor operations to the successor Contractor, or DHHS, occurs smoothly and without disruption to DHHS. Contractor must designate a person with the appropriate training to act as the transition coordinator. The transition coordinator must interact closely with DHHS and/or staff of the successor Contractor to ensure an orderly transition.

Upon contract closeout for any reason, the Contractor shall within 30 days prior to the end of the contract, unless stated otherwise herein:

- 9.** Develop a Contract Closeout Plan and submit it to DHHS for review and approval;
- 10.** Transfer all completed or partially completed deliverables to the State;
- 11.** Transfer ownership and title to all completed or partially completed deliverables to the State;
- 12.** Return to the State all information and data, unless the Contractor is permitted to keep the information or data by contract or rule of law. Contractor may retain one copy of any information or data as required to comply with applicable work product documentation standards or as are automatically retained in the course of Contractor's routine back up procedures;
- 13.** Cooperate with any successor Contractor, person or entity in the assumption of any or all of the obligations of this contract. End of Contract Transition activities will include planning and timely transfer of data and documentation to the State. Contractor shall provide technical and professional support to the State and/or a successor Contractor in support of the turnover as mutually agreed between the State and the Contractor at no additional cost to the State;
- 14.** Cooperate with any successor Contractor, person or entity with the transfer of information or data related to this contract. Contractor must submit, for approval by DHHS, a detailed plan for the transition of services to a successor system that includes the schedule for key activities and milestones;
- 15.** Return or vacate any state owned real or personal property; and,
- 16.** Return all data in a mutually acceptable format and manner.

Nothing in this Section should be construed to require the Contractor to surrender intellectual property, real or personal property, or information or data owned by the Contractor for which the State has no legal claim.

**II. CONTRACTOR DUTIES**

**A. INDEPENDENT CONTRACTOR / OBLIGATIONS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
B			

It is agreed that the Contractor is an independent contractor and that nothing contained herein is intended or should be construed as creating or establishing a relationship of employment, agency, or a partnership.

The Contractor is solely responsible for fulfilling the contract. The Contractor or the Contractor’s representative shall be the sole point of contact regarding all contractual matters.

The Contractor shall secure, at its own expense, all personnel required to perform the services under the contract. The personnel the Contractor uses to fulfill the contract shall have no contractual or other legal relationship with the State; they shall not be considered employees of the State and shall not be entitled to any compensation, rights or benefits from the State, including but not limited to, tenure rights, medical and hospital care, sick and vacation leave, severance pay, or retirement benefits.

By-name personnel commitments made in the Contractor's proposal shall not be changed without the prior written approval of the State. Replacement of these personnel, if approved by the State, shall be with personnel of equal or greater ability and qualifications.

All personnel assigned by the Contractor to the contract shall be employees of the Contractor or a subcontractor, and shall be fully qualified to perform the work required herein. Personnel employed by the Contractor or a subcontractor to fulfill the terms of the contract shall remain under the sole direction and control of the Contractor or the subcontractor respectively.

With respect to its employees, the Contractor agrees to be solely responsible for the following:

- 17. Any and all pay, benefits, and employment taxes and/or other payroll withholding;
- 18. Any and all vehicles used by the Contractor’s employees, including all insurance required by state law;
- 19. Damages incurred by Contractor’s employees within the scope of their duties under the contract;
- 20. Maintaining Workers’ Compensation and health insurance that complies with state and federal law and submitting any reports on such insurance to the extent required by governing law;
- 21. Determining the hours to be worked and the duties to be performed by the Contractor’s employees; and,
- 22. All claims on behalf of any person arising out of employment or alleged employment (including without limit claims of discrimination alleged against the Contractor, its officers, agents, or subcontractors or subcontractor’s employees)

If the Contractor intends to utilize any subcontractor, the subcontractor's level of effort, tasks, and time allocation should be clearly defined in the bidder’s proposal. The Contractor shall agree that it will not utilize any subcontractors not specifically included in its proposal in the performance of the contract without the prior written authorization of the State.

The State reserves the right to require the Contractor to reassign or remove from the project any Contractor or subcontractor employee.

Contractor shall insure that the terms and conditions contained in any contract with a subcontractor does not conflict with the terms and conditions of this contract.





The Contractor shall include a similar provision, for the protection of the State, in the contract with any Subcontractor engaged to perform work on this contract.

**B. EMPLOYEE WORK ELIGIBILITY STATUS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

The Contractor is required and hereby agrees to use a federal immigration verification system to determine the work eligibility status of employees physically performing services within the State of Nebraska. A federal immigration verification system means the electronic verification of the work authorization program authorized by the Illegal Immigration Reform and Immigrant Responsibility Act of 1996, 8 U.S.C. 1324a, known as the E-Verify Program, or an equivalent federal program designated by the United States Department of Homeland Security or other federal agency authorized to verify the work eligibility status of an employee.

If the Contractor is an individual or sole proprietorship, the following applies:

- 23. The Contractor must complete the United States Citizenship Attestation Form, available on the Department of Administrative Services website at <http://das.nebraska.gov/materiel/purchasing.html>
- 24. The completed United States Attestation Form should be submitted with the solicitation response.
- 25. If the Contractor indicates on such attestation form that he or she is a qualified alien, the Contractor agrees to provide the US Citizenship and Immigration Services documentation required to verify the Contractor's lawful presence in the United States using the Systematic Alien Verification for Entitlements (SAVE) Program.
- 26. The Contractor understands and agrees that lawful presence in the United States is required and the Contractor may be disqualified or the contract terminated if such lawful presence cannot be verified as required by Neb. Rev. Stat. §4-108.

**C. COMPLIANCE WITH CIVIL RIGHTS LAWS AND EQUAL OPPORTUNITY EMPLOYMENT / NONDISCRIMINATION (Statutory)**

The Contractor shall comply with all applicable local, state, and federal statutes and regulations regarding civil rights laws and equal opportunity employment. The Nebraska Fair Employment Practice Act prohibits Contractors of the State of Nebraska, and their Subcontractors, from discriminating against any employee or applicant for employment, with respect to hire, tenure, terms, conditions, compensation, or privileges of employment because of race, color, religion, sex, disability, marital status, or national origin (Neb. Rev. Stat. §48-1101 to 48-1125). The Contractor guarantees compliance with the Nebraska Fair Employment Practice Act, and breach of this provision shall be regarded as a material breach of contract. The Contractor shall insert a similar provision in all Subcontracts for goods and services to be covered by any contract resulting from this solicitation.

**D. COOPERATION WITH OTHER CONTRACTORS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:

B			
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Contractor may be required to work with or in close proximity to other contractors or individuals that may be working on same or different projects. The Contractor shall agree to cooperate with such other contractors or individuals, and shall not commit or permit any act which may interfere with the performance of work by any other contractor or individual. Contractor is not required to compromise Contractor's intellectual property or proprietary information unless expressly required to do so by this contract.

**E. PERMITS, REGULATIONS, LAWS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:

The contract price shall include the cost of all royalties, licenses, permits, and approvals, whether arising from patents, trademarks, copyrights or otherwise, that are in any way involved in the contract. The Contractor shall obtain and pay for all royalties, licenses, and permits, and approvals necessary for the execution of the contract. The Contractor must guarantee that it has the full legal right to the materials, supplies, equipment, software, and other items used to execute this contract.

**F. OWNERSHIP OF INFORMATION AND DATA / DELIVERABLES**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
B			

The State shall have the unlimited right to publish, duplicate, use, and disclose all information and data developed or obtained by the Contractor on behalf of the State pursuant to this contract.

The State shall own and hold exclusive title to any deliverable developed as a result of this contract. Contractor shall have no ownership interest or title, and shall not patent, license, or copyright, duplicate, transfer, sell, or exchange, the design, specifications, concept, or deliverable.

**G. INSURANCE REQUIREMENTS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within	NOTES/COMMENTS:

Solicitation Response (Initial)			
12			

The Contractor shall throughout the term of the contract maintain insurance as specified herein and provide the State a current Certificate of Insurance/Acord Form (COI) verifying the coverage. The Contractor shall not commence work on the contract until the insurance is in place. If Contractor subcontracts any portion of the Contract the Contractor must, throughout the term of the contract, either:

- 27. Provide equivalent insurance for each subcontractor and provide a COI verifying the coverage for the subcontractor;
- 28. Require each subcontractor to have equivalent insurance and provide written notice to the State that the Contractor has verified that each subcontractor has the required coverage; or,
- 29. Provide the State with copies of each subcontractor's Certificate of Insurance evidencing the required coverage.

The Contractor shall not allow any Subcontractor to commence work until the Subcontractor has equivalent insurance. The failure of the State to require a COI, or the failure of the Contractor to provide a COI or require subcontractor insurance shall not limit, relieve, or decrease the liability of the Contractor hereunder.

In the event that any policy written on a claims-made basis terminates or is canceled during the term of the contract or within one (1) year of termination or expiration of the contract, the contractor shall obtain an extended discovery or reporting period, or a new insurance policy, providing coverage required by this contract for the term of the contract and one (1) year following termination or expiration of the contract.

If by the terms of any insurance a mandatory deductible is required, or if the Contractor elects to increase the mandatory deductible amount, the Contractor shall be responsible for payment of the amount of the deductible in the event of a paid claim.

Notwithstanding any other clause in this Contract, the State may recover up to the liability limits of the insurance policies required herein.

**1. WORKERS' COMPENSATION INSURANCE**

The Contractor shall take out and maintain during the life of this contract the statutory Workers' Compensation and Employer's Liability Insurance for all of the contractors' employees to be engaged in work on the project under this contract and, in case any such work is sublet, the Contractor shall require the Subcontractor similarly to provide Worker's Compensation and Employer's Liability Insurance for all of the Subcontractor's employees to be engaged in such work. This policy shall be written to meet the statutory requirements for the state in which the work is to be performed, including Occupational Disease. **The policy shall include a waiver of subrogation in favor of the State. The COI shall contain the mandatory COI subrogation waiver language found hereinafter.** The amounts of such insurance shall not be less than the limits stated hereinafter. For employees working in the State of Nebraska, the policy must be written by an entity authorized by the State of Nebraska Department of Insurance to write Workers' Compensation and Employer's Liability Insurance for Nebraska employees.

**2. COMMERCIAL GENERAL LIABILITY INSURANCE AND COMMERCIAL AUTOMOBILE LIABILITY INSURANCE**

The Contractor shall take out and maintain during the life of this contract such Commercial General Liability Insurance and Commercial Automobile Liability Insurance as shall protect Contractor and any Subcontractor performing work covered by this contract from claims for damages for bodily injury, including death, as well as from claims for property damage, which may arise from operations under this contract, whether such operation be by the Contractor or by any Subcontractor or by anyone directly or indirectly employed by either of them, and the amounts of such insurance shall not be less than limits stated hereinafter.

The Commercial General Liability Insurance shall be written on an **occurrence basis**, and provide Premises/Operations, Products/Completed Operations, Independent Contractors, Personal Injury, and Contractual Liability coverage. **The policy shall include the State, and others as required by the contract documents, as Additional Insured(s). This policy shall be primary, and any insurance or self-insurance carried by the State shall be considered secondary and non-contributory. The COI shall contain the mandatory COI liability waiver language found hereinafter.** The Commercial Automobile Liability Insurance shall be written to cover all Owned, Non-owned, and Hired vehicles.

<b>REQUIRED INSURANCE COVERAGE</b>	
<b>COMMERCIAL GENERAL LIABILITY</b>	
General Aggregate	\$2,000,000
Products/Completed Operations Aggregate	\$2,000,000
Personal/Advertising Injury	\$1,000,000 per occurrence
Bodily Injury/Property Damage	\$1,000,000 per occurrence
Medical Payments	\$10,000 any one person
Damage to Rented Premises (Fire)	\$300,000 each occurrence
Contractual	Included
Independent Contractors	Included
<i>If higher limits are required, the Umbrella/Excess Liability limits are allowed to satisfy the higher limit.</i>	
<b>WORKER'S COMPENSATION</b>	
Employers Liability Limits	\$500K/\$500K/\$500K
Statutory Limits- All States	Statutory - State of Nebraska
Voluntary Compensation	Statutory
<b>COMMERCIAL AUTOMOBILE LIABILITY</b>	
Bodily Injury/Property Damage	\$1,000,000 combined single limit
Include All Owned, Hired & Non-Owned Automobile liability	Included
Motor Carrier Act Endorsement	Where Applicable
<b>UMBRELLA/EXCESS LIABILITY</b>	
Over Primary Insurance	\$5,000,000 per occurrence
<b>COMMERCIAL CRIME</b>	
Crime/Employee Dishonesty Including 3rd Party Fidelity	\$1,000,000
<b>CYBER LIABILITY</b>	
Breach of Privacy, Security Breach, Denial of Service, Remediation, Fines and Penalties	\$5,000,000
<b>MANDATORY COI SUBROGATION WAIVER LANGUAGE</b>	
"Workers' Compensation policy shall include a waiver of subrogation in favor of the State of Nebraska."	
<b>MANDATORY COI LIABILITY WAIVER LANGUAGE</b>	
"Commercial General Liability & Commercial Automobile Liability policies shall name the State of Nebraska as an Additional Insured and the policies shall be primary and any insurance or self-insurance carried by the State shall be considered secondary and non-contributory as additionally insured."	

**3. EVIDENCE OF COVERAGE**



The Contractor shall furnish the Contract Manager, with a certificate of insurance coverage complying with the above requirements prior to beginning work at:

Department of Health and Human Services  
 Public Health Licensure Unit  
 Attn: Support Program Manager  
 301 Centennial Mall S  
 Lincoln NE 68509

These certificates or the cover sheet shall reference the RFP number, and the certificates shall include the name of the company, policy numbers, effective dates, dates of expiration, and amounts and types of coverage afforded. If the State is damaged by the failure of the Contractor to maintain such insurance, then the Contractor shall be responsible for all reasonable costs properly attributable thereto.

Reasonable notice of cancellation of any required insurance policy must be submitted to the contract manager as listed above when issued and a new coverage binder shall be submitted immediately to ensure no break in coverage.

**4. DEVIATIONS**

The insurance requirements are subject to limited negotiation. Negotiation typically includes, but is not necessarily limited to, the correct type of coverage, necessity for Workers' Compensation, and the type of automobile coverage carried by the Contractor.

**H. ANTITRUST**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

The Contractor hereby assigns to the State any and all claims for overcharges as to goods and/or services provided in connection with this contract resulting from antitrust violations which arise under antitrust laws of the United States and the antitrust laws of the State.

**I. CONFLICT OF INTEREST**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

By submitting a proposal, bidder certifies that no relationship exists between the bidder and any person or entity which either is, or gives the appearance of, a conflict of interest related to this Request for Proposal or project.

Bidder further certifies that bidder will not employ any individual known by bidder to have a conflict of interest nor shall bidder take any action or acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its contractual obligations hereunder or which creates an actual or appearance of conflict of interest.

If there is an actual or perceived conflict of interest, bidder shall provide with its proposal a full disclosure of the facts describing such actual or perceived conflict of interest and a proposed mitigation plan for consideration. The State will then consider such disclosure and proposed mitigation plan and either approve or reject as part of the overall bid evaluation.

**J. STATE PROPERTY**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
<i>JZ</i>			

The Contractor shall be responsible for the proper care and custody of any State-owned property which is furnished for the Contractor's use during the performance of the contract. The Contractor shall reimburse the State for any loss or damage of such property; normal wear and tear is expected.

**K. SITE RULES AND REGULATIONS**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
<i>JZ</i>			

The Contractor shall use its best efforts to ensure that its employees, agents, and Subcontractors comply with site rules and regulations while on State premises. If the Contractor must perform on-site work outside of the daily operational hours set forth by the State, it must make arrangements with the State to ensure access to the facility and the equipment has been arranged. No additional payment will be made by the State on the basis of lack of access, unless the State fails to provide access as agreed to in writing between the State and the Contractor.

**L. ADVERTISING**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:

JZ			
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The Contractor agrees not to refer to the contract award in advertising in such a manner as to state or imply that the company or its goods or services are endorsed or preferred by the State. Any publicity releases pertaining to the project shall not be issued without prior written approval from the State.

**M. NEBRASKA TECHNOLOGY ACCESS STANDARDS (Statutory)**

Contractor shall review the Nebraska Technology Access Standards, found at <http://nitc.nebraska.gov/standards/2-201.html> and ensure that products and/or services provided under the contract are in compliance or will comply with the applicable standards to the greatest degree possible. In the event such standards change during the Contractor's performance, the State may create an amendment to the contract to request the contract comply with the changed standard at a cost mutually acceptable to the parties.

**N. DISASTER RECOVERY/BACK UP PLAN**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			


The Contractor shall have a disaster recovery and back-up plan, of which a copy should be provided upon request to the State, which includes, but is not limited to equipment, personnel, facilities, and transportation, in order to continue delivery of goods and services as specified under the specifications in the contract in the event of a disaster.

**O. DRUG POLICY**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

Contractor certifies it maintains a drug free work place environment to ensure worker safety and workplace integrity. Contractor agrees to provide a copy of its drug free workplace policy at any time upon request by the State.

**P. WARRANTY**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
			<b>Add: IN NO EVENT WILL THE AGGREGATE LIABILITY OF COMPANY TO LICENSEE UNDER THIS CONTRACT FOR DAMAGES, COSTS, ATTORNEY’S FEES, EXPENSES OR INDEMNITY EXCEED THE TOTAL FEES PAID BY LICENSEE IN THE LAST TWELVE MONTHS TO COMPANY HEREUNDER.</b>

Despite any clause to the contrary, the Contractor represents and warrants that its services hereunder shall be performed by competent personnel and shall be of professional quality consistent with generally accepted industry standards for the performance of such services and shall comply in all respects with the requirements of this Agreement. For any breach of this warranty, the Contractor shall, for a period of ninety (90) days from performance of the service, perform the services again, at no cost to the State, or if Contractor is unable to perform the services as warranted, Contractor shall reimburse the State all fees paid to Contractor for the unsatisfactory services. The rights and remedies of the parties under this warranty are in addition to any other rights and remedies of the parties provided by law or equity, including, without limitation actual damages, and, as applicable and awarded under the law, to a prevailing party, reasonable attorneys’ fees and costs.



**III. PAYMENT**

**A. PROHIBITION AGAINST ADVANCE PAYMENT (Statutory)**

Neb. Rev. Stat. §§81-2403 states, “[n]o goods or services shall be deemed to be received by an agency until all such goods or services are completely delivered and finally accepted by the agency.”

**B. TAXES (Statutory)**

The State is not required to pay taxes and assumes no such liability as a result of this solicitation. The Contractor may request a copy of the Nebraska Department of Revenue, Nebraska Resale or Exempt Sale Certificate for Sales Tax Exemption, Form 13 for their records. Any property tax payable on the Contractor’s equipment which may be installed in a state-owned facility is the responsibility of the Contractor

**C. INVOICES**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

Invoices for payments must be submitted by the Contractor to the agency requesting the services with sufficient detail to support payment. Invoices must be itemized, and specify the deliverable or service being billed. Invoices must be emailed to [dhhs.licensesupport@nebraska.gov](mailto:dhhs.licensesupport@nebraska.gov).

The Contractor shall submit invoices that clearly match all charges to the corresponding contract deliverable. Invoice charges should be further categorized by full description of all work completed and/or product delivered, quantities, and prices. Any charges based on hourly rates shall indicate the hours by individual and position, with a detailed explanation of the work covered by the hours. DHHS will finalize the format of the invoices with the Contractor at the start of the contract.

The terms and conditions included in the Contractor’s invoice shall be deemed to be solely for the convenience of the parties. No terms or conditions of any such invoice shall be binding upon the State, and no action by the State, including without limitation the payment of any such invoice in whole or in part, shall be construed as binding or estopping the State with respect to any such term or condition, unless the invoice term or condition has been previously agreed to by the State as an amendment to the contract.

**D. INSPECTION AND APPROVAL**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

Final inspection and approval of all work required under the contract shall be performed by the designated State officials.

The State and/or its authorized representatives shall have the right to enter any premises where the Contractor or Subcontractor duties under the contract are being performed, and to inspect, monitor or otherwise evaluate the work

being performed. All inspections and evaluations shall be at reasonable times and in a manner that will not unreasonably delay work.

**E. PAYMENT (Statutory)**

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
JZ			

Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2403). The State may require the Contractor to accept payment by electronic means such as ACH deposit. In no event shall the State be responsible or liable to pay for any goods and services provided by the Contractor prior to the Effective Date of the contract, and the Contractor hereby waives any claim or cause of action for any such services.

**F. LATE PAYMENT (Statutory)**

The Contractor may charge the responsible agency interest for late payment in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2401 through 81-2408).


**G. SUBJECT TO FUNDING / FUNDING OUT CLAUSE FOR LOSS OF APPROPRIATIONS (Statutory)**

The State's obligation to pay amounts due on the Contract for a fiscal years following the current fiscal year is contingent upon legislative appropriation of funds. Should said funds not be appropriated, the State may terminate the contract with respect to those payments for the fiscal year(s) for which such funds are not appropriated. The State will give the Contractor written notice thirty (30) calendar days prior to the effective date of termination. All obligations of the State to make payments after the termination date will cease. The Contractor shall be entitled to receive just and equitable compensation for any authorized work which has been satisfactorily completed as of the termination date. In no event shall the Contractor be paid for a loss of anticipated profit.

**H. RIGHT TO AUDIT (First Paragraph is Statutory)**

The State shall have the right to audit the Contractor's performance of this contract upon a thirty (30) days' written notice. Contractor shall utilize generally accepted accounting principles, and shall maintain the accounting records, and other records and information relevant to the contract (Information) to enable the State to audit the contract. (Neb. Rev. Stat. §84-304 et seq.) The State may audit and the Contractor shall maintain, the Information during the term of the contract and for a period of five (5) years after the completion of this contract or until all issues or litigation are resolved, whichever is later. The Contractor shall make the Information available to the State at Contractor's place of business or a location acceptable to both Parties during normal business hours. If this is not practical or the Contractor so elects, the Contractor may provide electronic or paper copies of the Information. The State reserves the right to examine, make copies of, and take notes on any Information relevant to this contract, regardless of the form or the Information, how it is stored, or who possesses the Information. Under no circumstance will the Contractor be required to create or maintain documents not kept in the ordinary course of contractor's business operations, nor will contractor be required to disclose any information, including but not limited to product cost data, which is confidential or proprietary to contractor.

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:

			
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The Parties shall pay their own costs of the audit unless the audit finds a previously undisclosed overpayment by the State. If a previously undisclosed overpayment exceeds one-half of one percent (0.5%) of the total contract billings, or if fraud, material misrepresentations, or non-performance is discovered on the part of the Contractor, the Contractor shall reimburse the State for the total costs of the audit. Overpayments and audit costs owed to the State shall be paid within ninety (90) days of written notice of the claim. The Contractor agrees to correct any material weaknesses or condition found as a result of the audit.



## Corporate Overview

### **BIDDER IDENTIFICATION AND INFORMATION**

The bidder should provide the full company or corporate name, address of the company's headquarters, entity organization (corporation, partnership, proprietorship), state in which the bidder is incorporated or otherwise organized to do business, year in which the bidder first organized to do business and whether the name and form of organization has changed since first organized.

Company Name: GL Suite, dba for GL Solutions

Address: 856 NW Bond St, Bend, OR 97701

GL Solutions was formed in 1997 in the state of Oregon and has not been renamed during the entirety of its business.

### **FINANCIAL STATEMENTS**

The bidder should provide financial statements applicable to the firm. If publicly held, the bidder should provide a copy of the corporation's most recent audited financial reports and statements, and the name, address, and telephone number of the fiscally responsible representative of the bidder's financial or banking organization.

If the bidder is not a publicly held corporation, either the reports and statements required of a publicly held corporation, or a description of the organization, including size, longevity, client base, areas of specialization and expertise, and any other pertinent information, should be submitted in such a manner that proposal evaluators may reasonably formulate a determination about the stability and financial strength of the organization. Additionally, a non-publicly held firm should provide a banking reference.

The bidder must disclose any and all judgments, pending or expected litigation, or other real or potential financial reversals, which might materially affect the viability or stability of the organization, or state that no such condition is known to exist.

The State may elect to use a third party to conduct credit checks as part of the corporate overview evaluation.

GL Solutions has included copies of our latest audited financial statements as Supporting Document 1.

### **CHANGE OF OWNERSHIP**

If any change in ownership or control of the company is anticipated during the twelve (12) months following the proposal due date, the bidder should describe the circumstances of such change and indicate when the change will likely occur. Any change of ownership to an awarded Contractor(s) will require notification to the State.

GL Solutions has experienced no changes in ownership since our founding in 1997.

### **OFFICE LOCATION**

The bidder's office location responsible for performance pursuant to an award of a contract with the State of Nebraska should be identified.

GL Solutions sole office is located in Bend, Oregon.

### **RELATIONSHIPS WITH THE STATE**

The bidder should describe any dealings with the State over the previous five (5) years. If the organization, its predecessor, or any Party named in the bidder's proposal response has contracted with the State, the bidder should identify the contract number(s) and/or any other information available to identify such contract(s). If no such contracts exist, so declare.

GL Solutions has recently contracted with the State of Nebraska Department of Administrative Services to provide a Risk Management Information System. The contract number is 85037 04.

### **BIDDER'S EMPLOYEE RELATIONS TO STATE**



If any Party named in the bidder's proposal response is or was an employee of the State within the past twenty-four (24) months, identify the individual(s) by name, State agency with whom employed, job title or position held with the State, and separation date. If no such relationship exists or has existed, so declare.

If any employee of any agency of the State of Nebraska is employed by the bidder or is a Subcontractor to the bidder, as of the due date for proposal submission, identify all such persons by name, position held with the bidder, and position held with the State (including job title and agency). Describe the responsibilities of such persons within the proposing organization. If, after review of this information by the State, it is determined that a conflict of interest exists or may exist, the bidder may be disqualified from further consideration in this proposal. If no such relationship exists, so declare.

GL Solutions has no current employees with any relations to anyone employed with the State of Nebraska.

### **CONTRACT PERFORMANCE**

If the bidder or any proposed Subcontractor has had a contract terminated for default during the past five (5) years, all such instances must be described as required below. Termination for default is defined as a notice to stop performance delivery due to the bidder's non-performance or poor performance, and the issue was either not litigated due to inaction on the part of the bidder or litigated and such litigation determined the bidder to be in default.

It is mandatory that the bidder submit full details of all termination for default experienced during the past five (5) years, including the other Party's name, address, and telephone number. The response to this section must present the bidder's position on the matter. The State will evaluate the facts and will score the bidder's proposal accordingly. If no such termination for default has been experienced by the bidder in the past five (5) years, so declare.

If at any time during the past five (5) years, the bidder has had a contract terminated for convenience, non-performance, non-allocation of funds, or any other reason, describe fully all circumstances surrounding such termination, including the name and address of the other contracting Party.

GL Solutions has a claim and counterclaim with the Mississippi Board of Medicine pending litigation. The parties dispute one another's performance during the contract. The claim is fully insured by GL Solutions' carriers and does not expect any financial impact from the matter. There are no other judgments, pending or expected litigation, or any other real or potential financial reversals that might materially affect our viability or stability. The preceding statement applies to GL Solutions, as a firm, operating out of our single location in Bend, OR.

### **SUMMARY OF CONTRACTOR'S CORPORATE EXPERIENCE**

The bidder should provide a summary matrix listing of previous projects similar to this solicitation in size, scope, and complexity with multi-license entities. The State will use no more than three (3) narrative project descriptions submitted by the bidder during its evaluation of the proposal.

The bidder should address the following:

Provide narrative descriptions to highlight the similarities between the bidder's experience and this solicitation. These descriptions should include:

- i. The time period of the project;
  - a. The scheduled and actual completion dates;
  - b. The bidder's responsibilities;
  - c. For reference purposes, a customer name (including the name of a contact person, a current telephone number, a facsimile number, and e-mail address); and
  - d. Each project description should identify whether the work was performed as the prime Contractor or as a Subcontractor. If a bidder performed as the prime Contractor, the description should provide the originally scheduled completion date and budget, as well as the actual (or currently planned) completion date and actual (or currently planned) budget.
- ii. Bidder and Subcontractor(s) experience should be listed separately. Narrative descriptions submitted for Subcontractors should be specifically identified as Subcontractor projects.

- iii. If the work was performed as a Subcontractor, the narrative description should identify the same information as requested for the Contractors above. In addition, Subcontractor's should identify what share of contract costs, project responsibilities, and time period were performed as a Subcontractor.

### 1) Arizona Medical Board

Pushpa Gregory

Application Development Manager

480-551-2729

[pushpa.gregory@azmd.gov](mailto:pushpa.gregory@azmd.gov)

Pushpa is our main point of contact.

Nature of project (what do we do for them): Full software system for licensure, renewals, applications and enforcement. Along with online verifications and renewals.

Dates of the project: 2/2007 – 4/2008

### 2) Alabama Home Builders Licensure Board

Suanne D. Parnell

Programmer Analyst, Associate

334-242-4655

[Suanne.Parnell@hblb.alabama.gov](mailto:Suanne.Parnell@hblb.alabama.gov)

Suanne is our main point of contact.

Nature of project (what do we do for them): Full software system for licensure, renewals, applications and enforcement. Along with online verifications and renewals.

Dates of the project: 9/2010 – 6/2011

### 3) Arizona Board of Cosmetology

Sabrina Hines

Office Manager

334-353-7256

[Sabrina.Hines@aboc.alabama.gov](mailto:Sabrina.Hines@aboc.alabama.gov)

Sabrina is our main point of contact.

Nature of project (what do we do for them): Full software system for licensure, renewals, applications and enforcement. Along with online verifications and renewals.

Dates of the project: The Alabama Board of Cosmetology & Barbering has been a client since 2004

### **SUMMARY OF CONTRACTOR'S PROPOSED PERSONNEL/MANAGEMENT APPROACH**

The bidder should present a detailed description of its proposed approach to the management of the project.

The bidder should identify the specific professionals who will work on the State's project if their company is awarded the contract resulting from this solicitation. The names and titles of the team proposed for assignment to the State project should be identified



in full, with a description of the team leadership, interface and support functions, and reporting relationships. The primary work assigned to each person should also be identified.

The bidder should provide resumes for all personnel proposed to work on the project. The State will consider the resumes as a key indicator of the bidder's understanding of the skill mixes required to carry out the requirements of the solicitation in addition to assessing the experience of specific individuals.

Resumes should not be longer than three (3) pages. Resumes should include, at a minimum, academic background and degrees, professional certifications, understanding of the process, and at least three (3) references (name, address, and telephone number) who can attest to the competence and skill level of the individual. Any changes in proposed personnel shall only be implemented after written approval from the State.

GL Solutions is a highly systems-oriented organization with time-tested processes to ensure success in this project. We provide here our implementation process overview, Training Overview, and Testing Process Overview, followed by resumes for proposed key personnel.

## **Implementation Process Overview**

### **On-Site Presence**

We would typically plan to have a Business Analyst on-site for one week within the first month of the project to begin a stage we call "Solutions Analysis" wherein we gather requirements and begin to describe the solutions required. We would follow this time with phone calls and online meetings to answer follow-up questions and to review design specifications.

The next time we propose on-site presence is upon completion of our development and internal testing, when the Business Analyst trains your users and begins User Acceptance Testing. This is typically 3-5 business days of training sessions, training your super-users, and often sitting with some end-users, teaching them to both use the software and teaching them to follow the steps necessary to confirm they can use the software as expected, to meet their business processes.

Finally, the Agency Partner is usually on-site for 2-3 days around system go-live, to ensure users are getting into the new system and getting comfortable using it to handle their daily software functions.

The above proposed on-site timelines are flexible and will be detailed during your project in the project planning documents noted below, depending on your needs.

### **Project Implementation Process**

GL Solutions will use our industry-specific project Implementation Process which will facilitate the successful implementation of your GL Suite system:

- Appropriate allocation and organization of resources to meet timelines for deliverables
- Appropriate and timely identification of project changes and risks
- Open communication
- Appropriate training plans and curriculum development
- Clear definition of roles and responsibilities for all personnel assigned to the project



- Iterative processes for development, testing, acceptance, and deployment
- Robust testing procedures
- A stable IT production environment

Having successfully managed implementations for many years, we understand that every project is unique. While we are confident that the Project Implementation Process outlined below is the best approach for achieving a successful system implementation, our project implementation approach is flexible enough to accommodate your needs.

GL Solutions' Project Implementation Process entails the following high-level steps.

### **Project Initiation**

GL Solutions' Agency Partner works with your Project Manager to document and formally agree to the project approach, scope, and schedule. To this end, we produce the following documents (as required) and submit them to you for review and approval:

### **Management Plan**

The Management Plan documents how GL Solutions and your agency will work together. It will be used as the working foundation for our partnership. The Management Plan completely describes the software project methodology that will be used to implement your software system. It defines the roles and responsibilities for both you and for us, sets clear expectations for all work to be done on both sides of our partnership, and provides a functional framework for the relationship moving forward. It includes an outline for how the project will be analyzed, designed, configured, integrated, tested, accepted, and deployed. The document includes:

- Project Milestones
- Crucial supporting implementation activities
- Overview of our project management methodology
- Project management roles and responsibilities (for both GL Solutions and your agency)
- Specification methodology and expectations
- Technical requirements
- Deployment responsibilities
- High-level testing activities and expectations (details will be documented in the project-specific UAT Plan)
- Acceptance milestones (along with expectations for work to be done)

The document will include the following sections:

- Communication Management
  - Defines the timing, media and recipients of all types of communication related to the project. This section will set expectations for how all communication will take place between GL Solutions and your agency for the upcoming contract year. An Agency Partner will work with you to determine the best method(s) for gathering requirements, keeping you updated on project/task progress, where to go with questions, etc.
- Risk Management





- Defines the procedures used to manage risks during the project. This section will outline steps that GL Solutions and/or your agency can take in order to understand and mitigate known risks within the installation project.
- Change Management
  - Defines the process for managing project and scope changes. This section will provide a process for documenting, submitting and reviewing, approval or rejection of, impact and tracking of change requests. It will limit impact to the project plan, budget and schedule.

### **Goals and Scope Document**

The Goals and Scope document presents the project overview and objectives, deliverables, limits, and exclusions associated with your project(s). There will be one Goals and Scope document for each plan year period.

### **Implementation Overview**

The GL Solutions team (Agency Partner, Business Analyst and various other technical resources for design, development and testing) will collaborate with your project team in order to smoothly complete a successful project implementation.

Projects, at a high-level, will be driven by your Agency Partner. They are responsible for scheduling and conducting the initial system interview with you, capturing project requirements, communicating the status of the project(s) through regular status meetings and leading the project implementation.

An assigned Business Analyst will be responsible for the project details: gathering the specific requirements for the project(s), creating required tasks, and providing necessary training.

A GL Solutions representative will travel onsite to assist your agency during the User Acceptance Testing (UAT) process. UAT is typically completed in a week, although our flexibility allows us to accommodate your agency's schedule if additional support is requested. The Training Overview (Attached Supporting Document) provides additional detail about onsite training and support activities.

### **Implementation Methodology**

Goals of our Implementation methodology:

- Each element of the Project is defined, documented and implemented per GL Solutions' best-practices
- All outputs developed conform to the expected requirements
- Communication between parties is timely, productive and consistent
- Your agency's needs are addressed in an organized fashion
- Scope and delivery stay on target, if adjustments are required they are clearly communicated

### **Successful Implementation**

GL Solutions provides the necessary services and software to successfully implement a system with all of your described functionality. This section describes the typical scope of work and the major tasks and activities typically required for a successful implementation. (The tasks and activities within this section are not necessarily listed in the order in which they would be completed.)

- Project Planning and Administration



- Validation of Requirements
- Gap/Fit Analysis
- Implementation Design
- System Configuration and Installation
- Data Conversion
- System Testing
- User Acceptance Testing
- Training
- Documentation
- Disaster Recovery
- Transition to Production
- Post Implementation Review
- Ongoing Technical Support

### **Typical Implementation Steps**

*Project Initiation:* The initiation of the project is intended to identify how the implementation of the software will proceed. This phase of the implementation ensures all parties are in agreement to the methodology and all other areas of the software implementation.

1. *Business Process Design:*
  - a. Step 1 – Requirements Gathering (process narratives and workflow diagrams)
  - b. Step 2 – Design (detailed specification)
  - c. Step 3 – Design Review
  - d. Step 4 - Design Approval
  - e. Step 4 – Report, Query and Correspondence Design
2. *Customized Functionality:* Specification and development of GUIs, websites and third-party interfaces.
3. *Development:* Automated business rules, reports, queries, correspondence, interfaces and websites.
4. *Gap Development (if gaps exist):* Addresses gaps agreed to during status meetings.
5. *Data Conversion:* Conversion plan, detailed specification, coding, running, testing and iterating until all required data exists in the new system.
6. *Testing:* Unit testing after each development milestone, end-to-end system testing upon overall development completion and User Acceptance Testing (UAT) prior to system go-live.
7. *Final System Acceptance:* Upon completion of the project, as determined by the scope of work, the Agency Partner obtains final project acceptance from your project management and/or executive staff.
8. *Go-Live (Deployment):* The Project is then released for use in a formal “system Go-Live.” As part of the release, the agency and GL Solutions Project Managers will determine the steps to deploy the system into the designated environments.

9. *Project Evaluation:* At major milestones and upon final acceptance of the system, GL Solutions and the agency project management staff members assess the project, discussing successes and ways to improve future efforts.
10. *Warranty/Stabilization:* After Go-Live, an audit is executed to assess whether the project is meeting intended requirements and objectives as defined in the Goals and Scope Document. The audit is conducted during the customer warranty period.

**Supporting Activities**

The following activities will support the successful implementation of the project:

- Appropriate allocation and organization of resources to meet timelines for project deliverables
- Documented and followed Acceptance, Change Management and Risk Management processes
- Continuous communication regarding responsibilities, progress, risks and changes
- Creation of Process Guides to aide with training during design and after completion of the project
- Clear definition of roles and responsibilities for all personnel assigned to the project
- Robust software testing and acceptance procedures
- A stable IT Production Environment
- Iterative processes for project solution development, testing, acceptance and deployment

**Resumes**

**Bill Moseley, CEO**

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moseley@glsolutions.com  
541-312-3662

**Related Experience**

**President and CEO, *GL Solutions, Bend, OR, 7/1997 – present***

- Founded and grew company
- Transform company from early-stage to mature, systems focused enterprise
- Chief architect of software application
- Wrote extensive TSQL, HTML, XML and Visual Basic programs
- Reengineer workflow and information systems for dozens of government regulatory agencies
- Led and coordinated teams of multidisciplinary professionals on information system projects
- Managed large, enterprise software development projects
- Managed Tier III data center infrastructure
- Provided project executive management for GL Solutions clients since 1997

**Operations Administrator, *Oregon Department of Justice, Salem, OR 2/1996 – 7/1998***

- Reengineered workflow and information systems for the Charitable Activities Section
- Recognized with outstanding service award by Attorney General Myers



- Managed section staff, developed and implemented \$2M budget
- Developed comprehensive WWW page to distribute and collect client information
- Designed, developed, and implemented three client-server SQL Server database applications

### **Education**

Master of Arts in Public Administration, *University of Kansas*, Lawrence, Kansas, 1995

*Juris Doctorate in Law, University of Kansas*, Lawrence, Kansas, 1994

Bachelor of Arts in Economics, *University of Kansas*, Lawrence, Kansas, 1991

Bachelor of Arts in Political Science, *University of Kansas*, Lawrence, Kansas, 1991

### **Hardware & Software Summary**

**Environments:** Windows desktop OS: Windows 3.1 thru present; Windows server OS: Window NT -12, Novell;  
Virtualization

**Hardware:** Numerous desktop and server hardware; various iSCSI SANs; Sonic Wall, Cisco, 3COM, and other mfgs; network load balancers, routers, firewalls, switches, hubs; various high speed and desktop scanners, bar code readers, printers, portable computing devices

**Software:** GL Suite Software (XML based) SQL; TSQL; VB all versions; VBA; VB Script; Java Script; ASP, ASPX, .NET, HTML, Visual FoxPro; dBase 3, 4, Visual; Pascal; XSLT, XML, MS Office, WSDL



## Adam Ridlon, Vice President for Strategy

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ridlon@glsolutions.com

541-312-3662 x123

### Experience

#### **Vice President for Strategy, GL Solutions, March 2015 – Present**

- Define and manage the implementation of GL Suite product features and enhancements
- Plan and execute reengineering efforts to create efficiency in organizational workflow
- Manage team of Technical Analysts

#### **Quality Assurance Manager, GL Solutions, March 2015 – October 2015**

- Manage team of Quality Assurance Specialists
- Ensure exceptional quality of products and services through process development and execution

#### **Chief Operating Officer, GL Solutions, July 2013 – February 2015**

- Supervise all aspects of the production of work products for clients, including teams of employees in the following areas: Business Analysis, Quality Assurance, Configuration, Development and Project Management.

#### **Vice President for Operations, GL Solutions, 2006 – June 2013**

- Oversaw and supervised all aspects of the production of work products for clients, including teams of employees in the following areas: Business Analysis, Quality Assurance, Configuration, Development and Project Management.

#### **Development Manager, GL Solutions, 2005 – 2006**

- Managed team of 8 software developers

### Education

Bachelor of Science in Information Technology, *Rochester Institute of Technology*, Rochester, NY, 2000

Other Education: Solaris Systems Administrator II Course; Cisco Certified Network Associate (CCNA) Certification

### Hardware & Software Summary

**Environments:** Sun Solaris, Linux and Microsoft desktop and server

**Hardware:** IBM, Sun, Cisco, SonicWALL

**Software:** GL Suite Software (XML based), SQL; TSQL; VB all versions; VBA; XPATH, VB Script; Java Script; ASP, ASPX, HTML, Visual FoxPro; dBase 3, 4, Visual; XSLT, XML, Stylus Studio; MS IDEs including: Visual Interdev Visual Studio 6 and Visual Studio .Net; MS Exchange; MS SQL Server all versions, MS IIS all versions, MS .Net Framework, all versions; MS Active Directory, MS DNS Manager, BIND, MS Visual Source Safe, MS IE all versions, Crystal Reports, Adobe Reader, Capture, Writer; Various other RDBMS, PostFix, Sendmail



### **Professional References**

- **Hari Gupta**, Operations Manager, *North Carolina Medical Board*, 919-326-1109 x248, Hari.Gupta@ncmedboard.org
- **Douglas Stang**, Chief Operating Officer, *Barlap Compliance Corporation*, 800-443-5786, djstang@barlap.com
- **Susan Miller**, Executive Director, *Idaho State Board of Dentistry*, 208-334-2369, susan.miller@isbd.idaho.gov

## Jake Burts, VP for Operations

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burts@glsolutions.com

541-312-3662

### Related Experience

#### **GL Solutions, Bend, OR, 2007 – Present**

- Operations Management: 6/2018 – Present
  - Ensure consistency in quality of production teams' outputs
  - Manage team of managers and specialists
  - Improve key performance indicators and processes for increased quality and timeliness
  - Build cultural alignment of new employees for promotion into advanced positions
- Sales and Marketing Management: 6/2014 – 5/2018
  - Oversaw and expanded market presence
  - Supervised team of marketing specialists and salespeople
  - Developed and delivered marketing campaigns
  - Successfully navigated formal procurement processes to expand revenues
- Client Engagement Management: 11/2007 – 5/2013
  - Managed client relationships
  - Supervised team of account managers
  - Handled client escalations
  - Enhanced client planning and support plan investments

#### **Multnomah Publishers / Zeal, Sisters, OR, 2005 – 2007**

- Project Manager
  - Coordinated design and publishing teams to meet client needs and production schedules

#### **Earth Wireless, Bend, OR, 2002 – 2005**

- Store Manager
  - Managed sales, staffing, and presentation of retail establishment and outside sales team

#### **Eastern Oregon University Residence Life, La Grande, OR, 1999 – 2002**

- Residence Hall Director
  - Managed hiring, scheduling, security, regulation compliance, and events

### Education

**Bachelor of Science, Liberal Arts, Minors in Business and Art, Eastern Oregon University, La Grande, OR, 2002**

### Hardware & Software Summary

**Environments:** Windows, iOS, Android

**Software:** GL Suite, MS Word, MS Excel, MS PowerPoint, MS Visio, MS Project, Adobe products



## Erik Lukens, Vice President for Business Solutions

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lukens@glsolutions.com  
541.312.3662

GL Solutions team member since September 2019

### Related Experience

#### **Vice President for Business Solutions, *GL Solutions*, Bend, OR, September 2019-present**

- Manage teams responsible for sales, marketing and client engagement
- Produce and deliver marketing campaigns
- Navigate procurement process to expand client base

### Other Experience

#### **Editor, *The Bulletin*, Bend, OR, 2016-2019**

- Oversee production of all news content for 17,000 circulation daily newspaper, manage as many as 60 employees on seven teams

#### **Editorial Page Editor, *The Oregonian*, Portland, OR, 2012-2016**

- Oversee production of opinion content for state's largest newspaper, chair newspaper editorial board, write editorials expressing editorial board's position on state and local issues

#### **City Editor, *The Bulletin*, Bend, OR, 2011-2012**

- Manage team of 12 reporters covering local, state and federal government for daily newspaper

#### **Editorial Page Editor, *The Bulletin*, Bend, OR, 1998-2011**

- Oversee production of opinion content for daily newspaper, chair newspaper editorial board, write editorials expressing editorial board's position on state and local issues

#### **Editorial Writer, *The Trentonian*, Trenton, N.J., 1995-1998**

- Write editorials expressing editorial board's position on state and local issues for daily newspaper in New Jersey's capital city

#### **Copy Editor, *The Trentonian*, Trenton, N.J., 1993-1995**

- Edit news copy, write headlines for daily newspaper in New Jersey's capital city

### Education

**PhD in English Literature, Princeton University, Princeton, N.J., 1989-1995**

**BA in English Literature, magna cum laude, Cornell University, Ithaca, N.Y., 1985-1989**



## Eric Staley, Service Delivery Manager

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staley@glsolutions.com

### **Experience**

#### **Service Delivery Manager, GL Solutions, Bend, OR, 1/2019 – present**

- Lead Client Relationship Team
- Responsible for individual development and all operational duties of Client Relationship Team
- Provides current supervision of the installation management and technical support for GL Solutions' clients

#### **Vice President for Business Solutions, GL Solutions, Bend, OR, 1/2018 – 1/2019**

#### **Vice President for Administration, GL Solutions, Bend, OR, 4/2014 – 1/2018**

- Supervision of facilities maintenance staff
- Supervision of accounting and financial reporting staff
- Supervision of human resource functions including recruiting, hiring, benefits administration and team/management development and training
- Testing of installation and tech support development and specification documents
- Training staff in technologies and procedures

#### **Vice President for Business Solutions, GL Solutions, Bend, OR, 4/2009 – 4/2014**

- Procurement and management of infrastructure-related vendor services
- Establish and maintain selling techniques and processes
- Supervision of teams conducting marketing campaigns and events
- Supervision of team creating brand, brand recognition, and awareness
- Supervision of management staff
- Conducting client satisfaction surveys
- Participation in on and off-site client meetings
- Perform liaison activities between Operations and other departments

#### **Development Manager, GL Solutions, Bend, OR, 5/2001 – 4/2009**

- Provides development management for GL Solutions clients
- Manages team of software developers and configuration specialists responsible for the configuration and development of client software projects
- SAN implementation and maintenance
- SQL Server, development, implementation, and maintenance

#### **Developer, GL Solutions, Bend, OR, 7/98 – 5/2001**

- Implementation of best practices in development activities
- .NET-base software and web development
- Server installation and support
- 

### **Education**

Bachelor of Arts in History, University of New Mexico, Albuquerque, NM. Graduated 1990



## **Hardware & Software Summary**

**Environments:** Windows desktop OS: Windows 3.1-10; Windows server OS: Windows NT-2012 r2

**Hardware:** Intel-based desktop/server

**Software:** GL Suite Software (XML based), .NET Framework, VB, XML, XPath, XSLT, XML, TSQL, ASP, ASPX, HTML, Visual Studio 2kX, SQL Server Studio, MS Visual Source Safe, Crystal Reports, MS Reporting, MS Office Suite

## **Professional References**

- **Charles Hurst**, Division Chief OIT Application-IDPH, *Illinois Department of Innovation & Technology*, 217-557-0017
- **Hari Gupta**, Operations Manager, *North Carolina Medical Board*, 919-326-1109 x248, Hari.Gupta@ncmedboard.org



## **SUBCONTRACTORS**

If the bidder intends to Subcontract any part of its performance hereunder, the bidder should provide:

- a) name, address, and telephone number of the Subcontractor(s);
- b) specific tasks for each Subcontractor(s);
- c) percentage of performance hours intended for each Subcontract; and
- d) total percentage of Subcontractor(s) performance hours.

GL Solutions does not intend to utilize subcontractors for the fulfillment of this RFP and its requirements.

## Attachment Two – Business Requirements Traceability Matrix

### ATTACHMENT TWO Business Requirements Traceability Matrix

#### Request for Proposal Number 6249 Z1

#### Bidder Name:

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#### Introduction

The Department of Health and Human Services (DHHS) Public Health Licensure Unit has identified the following major functions and divided the functions into operational tasks. DHHS wants to implement a commercial, off-the-shelf (COTS) licensure software system with as little customization as possible. **Bidders are encouraged to identify when and where any improvements or modifications to the system can improve the workflow.**

The State realizes that not all of the requirements stated in this specification may be COTS functions or operational tasks. While it is hoped that many of the functions and tasks are available from COTS, the State encourages Bidders to note any modifications necessary to provide the functions required in this specification, and to meet the design needs of the system.

The major considerations for the procurement, implementation, and maintenance of required software and hardware components which are associated with the licensing information system are summarized as follows:

1. The system exists to support the functional needs of DHHS.
2. The capacity (or expandability) of the system should be adequate to cover the long-range needs of DHHS, up to ten years at 10% annual growth. The system should be capable of processing the current and projected size, volume, and types of licenses.
3. The system should offer optimal performance with a minimal expenditure of DHHS personnel resources or funds required for maintenance (e.g., contractor labor).
4. The operational features of the software should be advanced in functional considerations and representative of state-of-the-art technical design.
5. The State wishes to implement a technically advanced, robust, and proven system – not a new and unproven system that could introduce high levels of risk.
6. Legislation may change the requirements for currently-regulated license types, or create new regulated license types. The system must be flexible enough for DHHS staff to add new license types and change the requirements for current license types within a short period of time.

It should be noted that some examples and illustrative phrases are provided throughout this specification. Bidders are cautioned that a specific implementation should not be inferred from an example or illustration, but that an appropriate implementation should be proposed.

If there is a conflict between a description in a narrative section of this document and a requirement quoted as a specification, the specification must have precedence.

Bidders should describe in detail how the proposed system meets the conformance specification outlined within each Functional/Business Requirement. It is not sufficient for the Bidder to simply state that it intends to meet the requirements of the RFP. The traceability matrix must indicate how the Bidder intends to comply with each requirement and the effort required to achieve that compliance.

The traceability matrix is used to document and track the project requirements from the proposal through testing to verify that the requirements have been met. The Contractor will be responsible for maintaining the contract set of Baseline Requirements. This traceability matrix will form one of the key artifacts required for testing and validation that each requirement has been complied with (i.e., 100% fulfilled).



The bidder must ensure that the original requirement identifier and requirement description are maintained from the traceability matrix.

How to complete the traceability matrix:

Column Description	Bidder Responsibility
Req #	The unique identifier for the requirement as assigned by DHHS, followed by the specific requirement number. This column is dictated by this RFP and must not be modified by the Bidder.
Requirement	The description of the requirement to which the Bidder must respond. This language is specified in the RFP and must not be modified by the Bidder.
(1) Comply	<p>Bidder must insert an "X" if the system complies with the requirement. Describe in the response how the system meets the requirement. If the system does not comply with the requirement, the Bidder must address the following:</p> <ol style="list-style-type: none"> <li>1. Capability does not currently exist in the system, but is planned in the near future (within the next few months)</li> <li>2. Capability not available, is not planned, or requires extensive source-code design and customization to be considered part of the Bidder's standard capability</li> <li>3. Capability requires an extensive integration effort of more than 500 hours</li> </ol>
(a) Core	Bidder must insert an "X" if the requirement is met by existing capabilities of the core system or with minor modifications or configuration to existing functionality.
(b) Custom	Bidder must insert an "X" if the Bidder proposes to custom develop the capability to meet this requirement. Indicate "custom" for those features that require substantial or "from the ground up" development efforts.
(c) 3rd Party	Bidder must insert an "X" if the Bidder proposed to meet this requirement using a 3rd party component or product (e.g., a COTS vendor or other 3rd party). The Bidder must describe the product, including product name, functionality, and benefits in the response.





## **Licensure Software Functional/Business Requirements**

The functional requirements listed below are those that DHHS staff deem essential. Bidders must note if their application meets each specific requirement, and describe how their software will meet each requirement. Bidders should also define and describe any additional functionality available in their software, beyond what is listed in the functional requirements.

Each requirement is identified by the following first three characters:

BID	Bidder Requirements
GEN	General System Requirements
ILA	Initial Licensure and Examination Requirements
RLA	Renewal Licensure Requirements
ACT	Accounting and Fees Requirements
LCV	License Certification/Verification Requirements
COM	Complaints and Investigations Requirements
DIS	Disciplinary Actions Requirements
MOB	Inspection and Mobile Functionality Requirements
RPT	Reporting Requirements
INT	Data Interface Requirements
ONL	Online Transaction and Public Interface Requirements
TRN	System Training Requirements
PHI	Public Health Investigations Requirements

## **Bidder Requirements**

Req #	Requirement
BID-1	Provide a Draft Project Management Plan.

**Response:**

GL Solutions has provided below our draft Project Management Plan and preliminary Project Work Plan.

GL Solutions is a highly systems-oriented organization with time-tested processes to ensure success in this project. We provide here our implementation process overview, Training Overview, and Testing Process Overview.

**Implementation Process Overview**

**On-Site Presence**

We would typically plan to have a Business Analyst on-site for one week within the first month of the project to begin a stage we call “Solutions Analysis” wherein we gather requirements and begin to describe the solutions required. We would follow this time with phone calls and online meetings to answer follow-up questions and to review design specifications.

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Finally, the Agency Partner is usually on-site for 2-3 days around system go-live, to ensure users are getting into the new system and getting comfortable using it to handle their daily software functions.

The above proposed on-site timelines are flexible and will be detailed during your project in the project planning documents noted below, depending on your needs.

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GL Solutions will use our industry-specific project Implementation Process which will facilitate the successful implementation of your GL Suite system:

- Appropriate allocation and organization of resources to meet timelines for deliverables



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- Open communication
- Appropriate training plans and curriculum development
- Clear definition of roles and responsibilities for all personnel assigned to the project
- Iterative processes for development, testing, acceptance, and deployment
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- Project Milestones
- Crucial supporting implementation activities
- Overview of our project management methodology
- Project management roles and responsibilities (for both GL Solutions and your agency)
- Specification methodology and expectations

- Technical requirements
- Deployment responsibilities
- High-level testing activities and expectations (details will be documented in the project-specific UAT Plan)
- Acceptance milestones (along with expectations for work to be done)

The document will include the following sections:

- Communication Management
  - Defines the timing, media and recipients of all types of communication related to the project. This section will set expectations for how all communication will take place between GL Solutions and your agency for the upcoming contract year. An Agency Partner will work with you to determine the best method(s) for gathering requirements, keeping you updated on project/task progress, where to go with questions, etc.
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  - Defines the procedures used to manage risks during the project. This section will outline steps that GL Solutions and/or your agency can take in order to understand and mitigate known risks within the installation project.
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Projects, at a high-level, will be driven by your Agency Partner. They are responsible for scheduling and conducting the initial system interview with you, capturing project requirements, communicating the status of the project(s) through regular status meetings and leading



the project implementation.

An assigned Business Analyst will be responsible for the project details: gathering the specific requirements for the project(s), creating required tasks, and providing necessary training.

A GL Solutions representative will travel onsite to assist your agency during the User Acceptance Testing (UAT) process. UAT is typically completed in a week, although our flexibility allows us to accommodate your agency's schedule if additional support is requested. The Training Overview (Attached Supporting Document) provides additional detail about onsite training and support activities.

### **Implementation Methodology**

Goals of our Implementation methodology:

- Each element of the Project is defined, documented and implemented per GL Solutions' best-practices
- All outputs developed conform to the expected requirements
- Communication between parties is timely, productive and consistent
- Your agency's needs are addressed in an organized fashion
- Scope and delivery stay on target, if adjustments are required they are clearly communicated

### **Successful Implementation**

GL Solutions provides the necessary services and software to successfully implement a system with all of your described functionality. This section describes the typical scope of work and the major tasks and activities typically required for a successful implementation. (The tasks and activities within this section are not necessarily listed in the order in which they would be completed.)

- Project Planning and Administration
- Validation of Requirements
- Gap/Fit Analysis
- Implementation Design
- System Configuration and Installation
- Data Conversion
- System Testing
- User Acceptance Testing

- Training
- Documentation
- Disaster Recovery
- Transition to Production
- Post Implementation Review
- Ongoing Technical Support

### **Typical Implementation Steps**

*Project Initiation:* The initiation of the project is intended to identify how the implementation of the software will proceed. This phase of the implementation ensures all parties are in agreement to the methodology and all other areas of the software implementation.

#### 11. *Business Process Design:*

- a. Step 1 – Requirements Gathering (process narratives and workflow diagrams)
- b. Step 2 – Design (detailed specification)
- c. Step 3 – Design Review
- d. Step 4 - Design Approval
- e. Step 4 – Report, Query and Correspondence Design

12. *Customized Functionality:* Specification and development of GUIs, websites and third-party interfaces.

13. *Development:* Automated business rules, reports, queries, correspondence, interfaces and websites.

14. *Gap Development* (if gaps exist): Addresses gaps agreed to during status meetings.

15. *Data Conversion:* Conversion plan, detailed specification, coding, running, testing and iterating until all required data exists in the new system.

16. *Testing:* Unit testing after each development milestone, end-to-end system testing upon overall development completion and User Acceptance Testing (UAT) prior to system go-live.

17. *Final System Acceptance:* Upon completion of the project, as determined by the scope of work, the Agency Partner obtains final project acceptance from your project management and/or executive staff.

Req #	Requirement
	<p>18. <i>Go-Live (Deployment)</i>: The Project is then released for use in a formal “system Go-Live.” As part of the release, the agency and GL Solutions Project Managers will determine the steps to deploy the system into the designated environments.</p> <p>19. <i>Project Evaluation</i>: At major milestones and upon final acceptance of the system, GL Solutions and the agency project management staff members assess the project, discussing successes and ways to improve future efforts.</p> <p>20. <i>Warranty/Stabilization</i>: After Go-Live, an audit is executed to assess whether the project is meeting intended requirements and objectives as defined in the Goals and Scope Document. The audit is conducted during the customer warranty period.</p> <p><b><u>Supporting Activities</u></b></p> <p>The following activities will support the successful implementation of the project:</p> <ul style="list-style-type: none"> <li>• Appropriate allocation and organization of resources to meet timelines for project deliverables</li> <li>• Documented and followed Acceptance, Change Management and Risk Management processes</li> <li>• Continuous communication regarding responsibilities, progress, risks and changes</li> <li>• Creation of Process Guides to aide with training during design and after completion of the project</li> <li>• Clear definition of roles and responsibilities for all personnel assigned to the project</li> <li>• Robust software testing and acceptance procedures</li> <li>• A stable IT Production Environment</li> <li>• Iterative processes for project solution development, testing, acceptance and deployment</li> </ul>



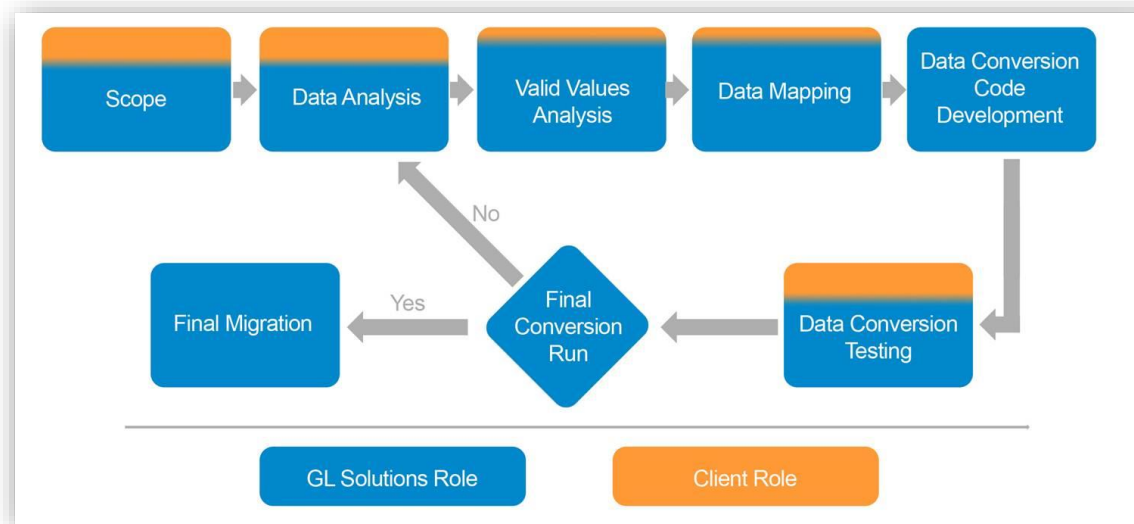
Req #	Requirement
BID-2	Describe the anticipated data conversion timeline, including the rollout strategy and when full implementation will be achieved.

**Response:**

1. Well-executed data conversion is essential for project success. GL Solutions offers over 20 years of experience examining, optimizing, and successfully utilizing our data conversion strategies in implementations. In addition, GL Solutions offers experience replacing any legacy system and migrating any volume of legacy data. GL Solutions strives to provide accuracy, while minimizing the resources required of your team. To achieve this, we employ deep analysis, intelligent planning, strong collaboration, clear design, logical automation, careful manual manipulation, as well as meticulous testing.

2.

**3. Conversion & Migration Events**



**4. Key Conversion Events**

GL Solutions and your team will follow carefully mapped out steps to complete conversion and migration:

1. Identify the scope of data conversion for each business area and the source databases GL Solutions will be converting
2. Client provides legacy data (in native format) and any related documentation

3. Plan approach to data conversion
  - a. Client produces legacy reports that list key data measures and scenarios to validate the conversion (e.g. hash totals, row counts, legacy reports)
  - b. Identify the quantity and nature of data to be converted and plan appropriately
    - i. Define and document data extraction standards and procedures
    - ii. Identify and understand the data to be converted
    - iii. Identify data source for the identified data
    - iv. Develop and document approach (approaches include automatic [scripted procedures], manual [user-entered data], or a combination of both)
4. Load data into source SQL server database
5. Valid value analysis
  - a. Identify valid values and redundancies including reference tables and list values that were established in configuration
6. Specification
  - a. GL Solutions develops workflow diagram database schema based on input from client Project Team that identifies all tables and fields in the source system and the tables/fields that are and are not being converted
  - b. Map data from existing system to proposed system (documented in the data conversion crosswalk Excel file)
7. Perform data conversion development
  - a. Design error and logging framework for analysis and generation of exception reports
  - b. Develop data migration programs to extract source data into the new database schema
  - c. Develop and test migration scripts
  - d. Generate exception reports
  - e. Identify exception data to be fixed
8. Perform data conversion testing
  - a. GL Solutions tests conversion results of migrated data
  - b. Client Project Team performs data testing
9. Test phase
  - a. Set up test environment



- b. Client Project Team provides source data
- c. Run extraction and loading routines in the test environment
- d. Run conversion procedures in test environment
- e. Set up User Acceptance Testing (UAT) environment
- f. Provide data to a staging area for UAT environment
- g. Run extraction and loading routines in the UAT environment
- h. Run conversion procedures in UAT environment

10. Post conversion

- a. Identify correction modes for nonstandard data (manual and/or automatic)
- b. Write and test programs to correct corrupted data automatically

11. Perform final migration

- a. Client Project Team provides a final set of source data
- b. GL Solutions and the client Team collaborate to provide a listing of data fields for which incremental numbering is specified (e.g. license numbers, invoice numbers, and file numbers) including starting values

The following provides more information about the conversion and migration processes.

**Source Data Preparation**

The client Project Team provides legacy data in ODBC format if possible. If it is not possible, GL Solutions will work with your technical staff to determine an alternate format. Data should be cleansed to minimize data complications. This enables GL Solutions to provide simpler conversion code with fewer exceptions and errors. The client Team verifies the accuracy of source data prior to packaging.

GL Solutions converts legacy data in accordance with the specification and mapping documents and the exception handling process described below. GL Solutions analyzes source data, including the quantity and nature of data to be converted and converts the data in the state in which it is received. GL Solutions will provide an exception report to assist client Team in resolving errors.

**SECURE DATA TRANSFER:** To ensure data integrity and security, the client Project Team packages source data as an encrypted, compressed file and places the file on a Secure FTP site (SFTP). GL Solutions stores the data on a secure server inside GL Solutions' firewall. Once converted, data

is migrated into the GL Solutions Test environment—access requires login credentials that provide adequate security permissions. GL Solutions only stores the data as long as is necessary to support development of your system.

#### **Data Analysis & Data Conversion Planning**

Together, the client team and GL Solutions identify the quantity and nature of data to be converted and plan appropriately. The teams work together to determine what conditions constitute an exception and/or manual processing. They decide whether to convert data automatically or manually on a case-by-case basis. The client produces legacy reports that list key data measures and scenarios that will be used to validate the conversion.

#### **Data Importing and Staging**

GL Solutions creates, documents, and executes programs to import all source data into SQL Server to be used for data conversion staging. GL Solutions then performs checks against the original data sources to ensure that all data has been imported.

#### **Valid Value Analysis**

After importing source data, GL Solutions performs valid value analysis, which includes identifying redundancies, valid and invalid values, data inconsistencies, and business validity checks.

#### **Specification & Mapping**

In order to clarify and formalize the approach to converting data and to provide direction to data conversion coding, GL Solutions creates a detailed data conversion specification (workflow diagram and crosswalk) for each stage including every data source. GL Solutions first generates a workflow diagram noting physical data structure of the source data along with:

- Tables that will and will not be converted
- Fields that will not be converted from tables being converted
- General relationships between the source data tables

GL Solutions works with client team to facilitate an informal review of the data schema at the beginning of each stage. GL Solutions then creates the data conversion crosswalk, mapping each source data table/element to a new client table/element, noting specific business rule logic and



fields that will not be converted. GL Solutions works with you to identify and resolve issues with data conversion and gain approval of the data schema and crosswalk.

#### **Exceptions & Manual Processes**

GL Solutions will query the source data to locate normalization problems and provide information to assist the client team in efficient data cleanup. If necessary, we will define manual conversion routines to be executed by the client team.

#### **Coding**

Using the data schema and crosswalk, GL Solutions writes the data conversion code to match the specification to create client entities and their related records. Data conversion code will include the logging of exceptions, which will be compiled into an Exception Report.

#### **Test Conversion Runs**

Prior to final conversion, GL Solutions performs two test conversion runs: 1) an initial run and 2) a run using specification/code revisions stemming from the initial run. Tests will first be run in GL Solutions' test environment then in the User Acceptance Testing (UAT) environment. Test systems will be configured to sufficiently simulate the production environment and provide accurate predictors of the time required for the final data conversion run.

#### **Final Data Conversion Run**

The final data conversion process implements the data conversion approach defined in the data schema and data conversion specification. The final data conversion will be run in two environments: first in the GL Solutions' test environment then in the production environment.

#### **Exception Handling**

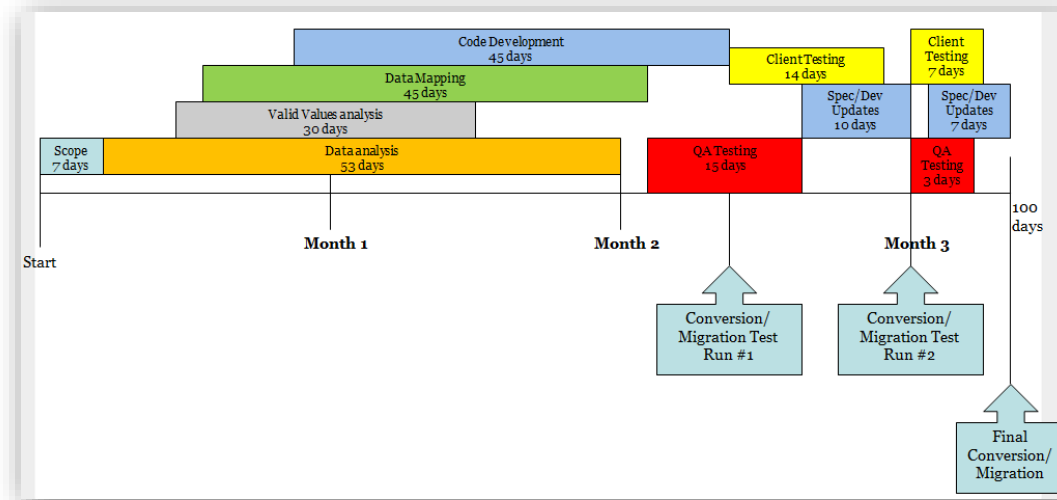
The data conversion code logs source records that do not convert into the exceptions table with explanations as to why the exception took place. After each data conversion run, GL Solutions and the client team review the Exception Report to determine the appropriate action for each exception, such as:

- The mutual decision for the client team to cleanse the data prior to extraction
- Manual post-data conversion clean up
- An update to the Crosswalk Specification and code to automatically handle the exception
- The decision by the client team to tolerate the exception and do nothing

Req #	Requirement
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**Data Conversion Process Timeline**

Below is a sample timeline for the data conversion process—timing will vary depending on the specifics of your system.



**Sample Data Conversion Timeline**

Data conversion requires a high level of quality assurance—it is the foundation of a successful installation. Our Quality Assurance Specialists are involved from the early stages of conversion design through the final conversion at go-live.

Req #	Requirement
<p>BID-3</p>	<p>Describe how the system automatically expands text boxes based on amount of text entered. Fields of adequate length for data elements and narrative text notes are required, as well as being able to view a significant portion of text notes without scrolling.</p> <p>DHHS is seeking a configurable system that does not have unreasonable data entry limitations and that allows large sections of comments to be seen in their entirety without scrolling. Some examples include inspection and investigation description entry fields, licensee record notes, and name and address fields. The Contractor must provide the data dictionary within thirty (30) calendar days following contract execution.</p>
<p>Response:</p> <p>GL Suite does not meet this requirement. GL Suite does not automatically resize text boxes. Users of the software system are able to resize comment boxes as desired, however most text boxes are configurable in size.</p>	
<p>BID-4</p>	<p>Describe the age, development stage, and robustness of the system, including mobile and synchronization capabilities.</p>
<p>Response:</p>	
<p>BID-5</p>	<p>Describe the update cycle of the licensure software system, such as how often new versions will be implemented.</p>



Req #	Requirement
	<p><b>Response:</b>  <i>Core Code Updates:</i> GL Solutions performs updates to systems hosted at our data center, without interrupting client workflow. Clients will be informed via the GL Portal a week before a core code update will be pushed to their live system. An Agency Partner can be reached to address any questions or concerns regarding the update.</p> <p>Before being installed on client systems, updates are rigorously tested. Moreover, we roll out each update alongside the current version in a deploy program. After passing Client Release testing, the released code is branched such that, should any high priority issues occur, fixes can be incorporated and rolled out quickly without significant risk of regression.</p> <p><i>Configuration Updates:</i> Updates made with the Control Panel rarely require any client downtime; however, if system downtime is required, we will schedule it after business hours to reduce the impact on system users. Before adding configuration updates to an agency's Production environment, GL Solutions' staff executes and tests the update in the Test environment to ensure that the system and the configurations function properly.</p> <p>To ensure that system changes do not have unintentional consequences on other aspects of your system, GL Solutions Business Analysts (BAs) work closely with our clients, meticulously analyze all potential systems outcomes utilizing advanced self-documenting system specifications, and collaborate closely with other teams within our Operations department.</p>
<p>BID-6</p>	<p>Describe any compatible software packages used to create reports, templates, correspondence, etc., and how the software package versions are updated to ensure compatibility with DHHS versions.</p>



**Response:**

GL Suite is an easy-to-use, web-based database system that GL Solutions tailors to meet each client’s individual needs. It is a COTS solution that GL Solutions configures to meet your needs without customizing core code. GL Suite handles every aspect of licensing, inspection, certification, case management, credentialing, continuing education, and enforcement activities from beginning to end. It streamlines every process and eliminates the need for manual processing. Designed by and for government regulatory experts, GL Suite allows agencies to work productively and efficiently.

**Configure** page layouts, fields, forms, menus, business rules, security settings, and searches without altering core code to keep your system in alignment with your evolving needs.

**Automate** requirements tracking, notifications, alerts, license approvals, renewal processes, case workflow, and all steps in the approval and review process to streamline activities and increase productivity.

**Track** every notification, task, correspondence, meeting, complaint, and any other information related to an individual, business, facility, exam, financial transaction, inspection, complaint, hearing, and more and easily view, retrieve, audit, and/or resend at any time.

**GL Suite Capabilities**

**Licensing, Registration, & Certification**

GL Suite can handle any volume of application and renewal processing. From creating a new facility or individual in the system, to the submission of an application, the issuing of a registration, and the renewal process, each step is simplified, automated, and intuitive.

- Quickly manage new applications and renewals
- View a licensee’s entire history
- Record and maintain a broad range of examination information
- Record continuing education credits for licensees
- Simplify and automate letter and e-mail generation
- Streamline the generation and printing of forms, licenses, certificates, etc.
- Invoice cash events automatically

- Track course sponsors and their course curriculum

#### **Compliance & Case Management**

- Implement consistent enforcement policies and reporting
- Track all actions related to complaints and compliance
- Plan and execute efficient and effective inspection activities
- Automatically initiate investigations upon receipt of complaints
- Gather and analyze disparate information
- Generate reports for cases and outcomes
- Quickly access data needed to provide guidance to your staff
- Automatically send common letters and e-mail notifications

#### **Document Imaging & Management**

GL Suite’s document imaging, storage, and retrieval capabilities eliminate paper backlogs and information silos. It enables agencies to access all information at all times, without the need to sift through paper documents and files. GL Suite links and organizes all electronic files within their associated records, allowing agencies to accelerate their response to the needs of licensees and the public.

- Upload numerous document types including Adobe .pdf, Microsoft Word and Excel, images, audio and video files
- Scan licensee photographs, display them on the screen, and print them directly on license cards
- Eliminate the multi-step assembly of license cards and reduce licensee impersonation
- Locate any stored document with search options tailored to your needs
- Create paperless meeting packets as electronic books for secure distribution using CDs, flash drives, or websites

#### **Websites**

Serve citizens and clients with 24x7 access to online registration and selected information via your agency’s website. Agencies can integrate GL Suite with their existing website or create a new one. GL Solutions has substantial experience designing public-facing websites that are eye-catching, easy-to-use, and efficient for our clients. Just as with our software, we can tailor yours to meet your particular needs, from a highly customized “one-stop” website to something less complex. Or, if you prefer, you can create your own site using our developer tool kit to integrate website data with GL Suite’s back-office database application.

- Applicants complete online applications in minutes





- GL Solutions' customers report that as many as 25% of all licensees renew online the first year, eventually rising as high as 90%
- Direct document requests to your website to provide quick access
- Send automated e-mail notices and requests to applicants
- Offer online license verification searches, so public users, employers, and licensees can check critical information about licensees
- Integrate with third-party payment processors, on your own or with our help
- Deposit funds immediately to your agency's financial accounts

#### **Configuration Tools**

GL Suite's Control Panel enables instantaneous addition, alteration, and removal of fields, forms, and menus. Authorized users can add, modify, and delete user profiles, passwords, business rules, modify security settings, and more without costly custom development. Using the Control Panel, users with adequate permissions can modify GL Suite to address business process changes or new legislative requirements. It enables agencies to identify requirements and triggers for every type of activity and modify them on the fly.

- Restructure registration cycles to balance staff workloads
- Continually improve your system
- Create and modify screens, fields, reports, queries, letter templates, and more
- Define business rules for data validation, automatic record creation and modification, and sophisticated application logic

#### **Workflow Automation**

GL Suite safeguards the integrity of regulatory processes by ensuring that each application follows a consistent path. Using automated features, GL Suite tracks the overall application, renewal, complaint, hearing, and/or case status and all related requirements, checklists, deadlines, fees, and so on.

- Develop rules to issue reminders and escalate overdue items
- Automatically assign requirements to renewals and generate renewal notices
- Automate penalty and compliance tracking to fit your processes
- Safeguard your processes by ensuring each requirement is met before a license is issued

#### **Field Inspection Tools**

GL Suite furnishes field staff with all the data and tools needed to perform inspections effectively. Inspectors can use laptops, tablet PCs, smartphones, and mobile phones to access the full system. Or, they can download inspection information to a mobile device for offline use and sync with the database once a connection is available. GL Suite will allow inspectors to maintain schedules, maps, and record inspection results in

the field, and it will provide full inspection capabilities even when an internet connection is not available.

- Schedule and track inspections and results and link details to a facility, licensee, or specific license
- Schedule inspections, optimize routes, automatically or manually update results and fees, and reschedule work remotely
- Capture electronic signatures
- Print inspection reports onsite
- Mark checklists, log violations, capture photos, and record video at the inspection site
- Produce deficiency letters individually or in batches and store replicas with each licensee's record
- Control user access with security permissions for viewing, adding, editing, and deleting data
- Assign specific inspectors to a particular inspection type or region or allow GL Suite to select inspectors randomly

#### **Powerful, Flexible Reporting**

GL Suite comes with a variety of standard reports and queries that we tailor to meet your needs. For ad-hoc reporting needs, you can utilize GLS Report, GL Suite's reporting tool. It will enable you to perform searches based on any data maintained in the system and export the results to a variety of formats to share with others. Later, you can re-run saved searches to collect real-time system information.

- Make reports available to other users while still controlling who has access
- Give system administrators access to predefined, time-saving templates that can be easily updated to reflect changing requirements

#### **Secure Data**

GL Suite provides high-level security to protect your data and applications. GL Suite's sophisticated data encryption layer keeps your database well protected. GL Suite's reliable data transfer protocols use standard web services and XML interfaces. Multi-level security establishes secure connections between application clients and web servers using Secure Sockets Layer (SSL) certificates.

- Configure every screen and field in the system to be hidden, read only, or editable
- Set permissions on reports, correspondence, queries, batch functions, business rules, fields, processes, license and permit types—virtually every function in GL Suite
- Grant authorized access to applications based on industry standards or custom services
- Confirm user identity with login credentials that meet your security requirements and use the authentication method that works best for your network environment



Req #	Requirement
	<ul style="list-style-type: none"><li>• Secure the perimeter with GL Suite’s robust network and database security settings</li><li>• GL Suite’s n-tier, XML web services architecture allows network administrators to protect database servers by completely isolating user requests</li></ul> <p>GL Suite is a feature-rich enterprise solution that can address a multitude of business processes. We are anxious to help you design a system that suits all of your needs and wants.</p>



Req #	Requirement
<p>BID-7</p>	<p>Describe the document scanning methodology used, including compatible software packages that interface with the system, and how documents are attached, referenced, and deleted from license records. If the system does not have an integrated scanning/attachment module, describe the proposed electronic documentation system. Describe how the software package versions are updated to ensure compatibility with DHHS versions. DHHS currently scans paper documents with a copier. DHHS also receives already-scanned documents In either case, DHHS will need to attach those documents to the licensee record.</p>
	<p>Response:</p> <p>GL Suite offers powerful document management capabilities. It allows any type of document to be uploaded and stored with a record. Documents that might be uploaded and stored include original applications, correspondence, support documentation (such as a photo of the applicant or a fingerprint card), scans of past records, and scans of certificates. GL Suite will accept virtually any file format including Adobe PDF files, text documents of any format, scanned records in any standard format, Microsoft Office, and even audio and video files.</p> <p>When agency users upload documents into GL Suite, the user or automation can populate the document record with any information you require, including when the document was received, when it was uploaded, and by whom.</p> <p>GL Suite automatically links uploaded documents to the record with which they are associated (b), making them accessible to authorized staff immediately or at any time in the future. Clicking the hyperlink will take the user directly to the document. With GL Suite, authorized users can retrieve and re-send uploaded documents as needed, and only authorized users can delete or re-index them. GL Suite’s security determines who can and cannot access these documents and what permissions they have, just as it controls who has access to the record itself.</p> <p>Based on the needs of the DHHS, documents can be uploaded at certain points in applicants’ online processes, from an online dashboard. Documents can also be scanned for Optical Character Recognition (OCR) for indexing and searching, or to ease the data entry. We can configure OCR to pull data from scanned documents to automatically populate properties within the software system. Our OCR functionality provides documents in a document queue to allow users to verify that the document scanning captures the correct information and streamline the process of reviewing documentation.</p>
<p>BID-8</p>	<p>Provide the hours that live technical support is available, and describe the method(s) by which it is provided, to facilitate quick resolution of problems.</p>



Req #	Requirement
	<p><b>Response:</b>            GL Solutions supports users by providing continuous support via telephone, email and web-based support; GL Solutions offers the web-based GL Portal. GL Solutions also supports users with access to a technical representative 24 hours a day 7 days a week to resolve critical issues. GL Solutions software support plan/software service includes emergency support 24 hours each day, 365 days of the year. In the event that your agency experiences a software issue, staff members will call your agency’s dedicated Agency Partner (AP). The AP will document the issue. GL Suite uses GL Portal, like a help desk ticketing system, to record and track all help desk calls. GL Portal records relevant information, including dates. If escalation is required, your AP will escalate the issue to the Client Engagement Manager. From there, the issue would be escalated to the Vice President of Business Solutions. GL Solutions turns issues into an opportunity for continuous improvements by creating Continuous Improvement (CI) tasks to improve processes and more.</p>
BID-9	Provide a draft Contract Closeout Plan which includes all the items specified in Section II. Terms and Conditions, V. Contract Closeout. The State intends to award a single contract for all services.
	<p><b>Response:</b>            GL Solutions currently does not have a Contract Closeout Plan that itemizes the activities to be performed during the closeout of a contract. Our contract closeout details are embedded within the Sample Contract Template, provided as Supporting Document 4. We will create and provide a draft contract closeout plan during the initial implementation of the project should an award be made for review, collaboration and approval.</p>
BID-10	Provide ALL governmental regulatory entities that are currently using bidder’s licensure software system, if any, and provide names and phone numbers of the entities’ system administrators.

**Response:**

GL Solutions has provided below all government regulatory agencies with which we currently serve, as well as contact information for those agencies.

Alabama Board of Cosmetology: Sabrina Hines, (334) 353-7256, [Sabrina.Hines@aboc.alabama.gov](mailto:Sabrina.Hines@aboc.alabama.gov)

Alabama Home Builders Licensure Board: Suanne Parnell, (334) 242-2230,  
[Suanne.Parnell@hblb.alabama.gov](mailto:Suanne.Parnell@hblb.alabama.gov)

Alaska Department of Commerce, Community and Economic Development: Greg Francois, (907) 269-7901, [greg.francois@alaska.gov](mailto:greg.francois@alaska.gov)

Arizona Board of Cosmetology: Rosa Rodriguez, (480) 784-4961, [rrodriguez@azboc.gov](mailto:rrodriguez@azboc.gov)

Arizona Board of Osteopathic Examiners in Medicine and Surgery: Pushpa Gregory, (480) 551-2729, [pushpa.gregory@azmd.gov](mailto:pushpa.gregory@azmd.gov)

Arizona Courts: Carol Mitchell, (602) 452-3963, [cmitchell@courts.az.gov](mailto:cmitchell@courts.az.gov)

Arizona Medical Board: Pushpa Gregory, (480) 551-2729, [pushpa.gregory@azmd.gov](mailto:pushpa.gregory@azmd.gov)

Arizona Pharmacy Board: Jennifer Burgin, (501) 682-9010, [jennifer.m.burgin@arkansas.gov](mailto:jennifer.m.burgin@arkansas.gov)

Arizona State Board of Dental Examiners: Kristina Gomez, (602) 542-4451, [kristina.gomez@dentalboard.az.gov](mailto:kristina.gomez@dentalboard.az.gov)

Connecticut Department of Emergency Services and Public Protection: Imisa Rivera, (860) 685-8011, [imisa.rivera@ct.gov](mailto:imisa.rivera@ct.gov)

Illinois Department of Public Health-EMS: Katheryn Lokaitis, (217) 557-3895, [Katheryn.Lokaitis@illinois.gov](mailto:Katheryn.Lokaitis@illinois.gov)



Kansas Department for Aging and Disability Services: Tabetha Mojica, (785) 296-6958, [Tabetha.mojica@ks.gov](mailto:Tabetha.mojica@ks.gov)

Minnesota Board of Cosmetology: Diane Delabarre, (651) 201-2859, [diane.delabarre@state.mn.us](mailto:diane.delabarre@state.mn.us)

Minnesota Board of Dentistry: Carolyn Modaffari, (612) 548-2123, [Tabetha.mojica@ks.gov](mailto:Tabetha.mojica@ks.gov)

Minnesota Board of Pharmacy: Tami Wier, (651) 201-2826, [tami.wier@state.mn.us](mailto:tami.wier@state.mn.us)

Minnesota Gambling Control Board: Steve Pedersen, (651) 539-1910, [Steve.Pedersen@state.mn.us](mailto:Steve.Pedersen@state.mn.us)

Mississippi Gaming Commission: Edward Wong, (601) 576-3829, [ewong@mgc.state.ms.us](mailto:ewong@mgc.state.ms.us)

Missouri State Tax Commission: Stacey Jacobs, (573) 751-1716, [Stacey.jacobs@stc.mo.gov](mailto:Stacey.jacobs@stc.mo.gov)

Nevada Chiropractic Physicians Board: Julie Strandberg, (775) 688-1921, [chirobd@chirobd.nv.gov](mailto:chirobd@chirobd.nv.gov)

Nebraska Department of Administrative Services: Allen D. Simpson, (402) 471-4436, [allen.d.simpson@nebraska.gov](mailto:allen.d.simpson@nebraska.gov)

New Mexico Environmental Department: Johnathan Gerhardt, (505) 515-5674, [Johnathan.gerhardt@state.nm.us](mailto:Johnathan.gerhardt@state.nm.us)

Nevada Housing Division/Mobile Homes: Tim Whitright, (702) 510-1650, [twhitright@housing.nv.gov](mailto:twhitright@housing.nv.gov)

Nevada State Board of Architecture, Interior Design and Residential Design: Monica Harrison, (702) 486-7300, [mharrison@nsbaidrd.nv.gov](mailto:mharrison@nsbaidrd.nv.gov)

Nevada State Board of Accountancy: Viki Windfeldt, (775) 786-0231, [viki@nvaccountancy.com](mailto:viki@nvaccountancy.com)

Nevada Veterinary Board: Jennifer Pedigo, (775) 688-1788, [vetbdinfo@vetboard.nv.gov](mailto:vetbdinfo@vetboard.nv.gov)



Nevada State Contractors Board: Diana Wallace (775) 688-1141, [diwallace@nscb.state.nv.us](mailto:diwallace@nscb.state.nv.us)

New Mexico Children, Youth & Families Department: Michael L. Bronson, (505) 827-8429, [MichaelL.Bronson@state.nm.us](mailto:MichaelL.Bronson@state.nm.us)

North Carolina Board of Accountancy: Buck Winslow, (919) 733-1421, [buckwinslow@nccpaboard.gov](mailto:buckwinslow@nccpaboard.gov)

North Carolina Board of Barbers: Dennis Seavers, (919) 814-0641, [dennis.seavers@nc.gov](mailto:dennis.seavers@nc.gov)

North Carolina Board of Medicine: Hari Gupta, (919) 326-1109 x248, [hari.gupta@ncmedboard.org](mailto:hari.gupta@ncmedboard.org)

North Dakota Real Estate Appraiser Qualifications and Ethics Board: Jodie Campbell, (701) 222-1051, [jcampbell@bis.midco.net](mailto:jcampbell@bis.midco.net)

Oklahoma Construction Industries Board, Windy Nunnery, (405) 521-6550, [windyn@cib.ok.gov](mailto:windyn@cib.ok.gov)

South Dakota Board of Accountancy: Nicole Kasin, (605) 367-5770, [nicole.kasin@state.sd.us](mailto:nicole.kasin@state.sd.us)

U.S. Virgin Islands Department of Health: Deborah Richardson-Peter, (340) 713-2226, x3261, [Deborah.richardson-peter@doh.vi.gov](mailto:Deborah.richardson-peter@doh.vi.gov)

Virginia Department of Behavioral Health and Developmental Services: Jae Benz, (804) 944-7550, [jae.benz@dbhds.virginia.gov](mailto:jae.benz@dbhds.virginia.gov)

Virginia Department of Criminal Justice Services: Tivona King, (804) 371-8635, [tivona.king@dcjs.virginia.gov](mailto:tivona.king@dcjs.virginia.gov).

West Virginia Alcohol Beverage Control Administration: Randy L. Haynes, (304) 356-5530, [Randy.L.Haynes@wv.gov](mailto:Randy.L.Haynes@wv.gov)

West Virginia Board of Dentistry: Susan Combs, (304) 252-8266, [wvbde@suddenlinkmail.com](mailto:wvbde@suddenlinkmail.com).



Req #	Requirement
	<p>Wyoming Board of Cosmetology: Sharon Bennett, (307) 777-3534 , <a href="mailto:sharon.bennett@wyo.gov">sharon.bennett@wyo.gov</a></p> <p>Wyoming Board of Medicine: Lori Mischan, (307) 778-7053, <a href="mailto:lori.mischan3@wyo.gov">lori.mischan3@wyo.gov</a></p> <p>Wyoming Board of Pharmacy: Robin Kus, (307) 634-9636, <a href="mailto:robin.kus1@wyo.gov">robin.kus1@wyo.gov</a></p> <p>Wyoming Board of Professional Geologists: Carmen Orla-Bukowski, (307) 742-1118, <a href="mailto:carmen.oria-bukowski1@wyo.gov">carmen.oria-bukowski1@wyo.gov</a></p>
<p>BID-11</p>	<p>Describe the methods for developing and maintaining test scenarios, test sets, test cases, and test steps. Testing Methodologies must also address the approach to documenting test procedures and test results.</p>

**Response:**

GL Solutions utilizes a proven strategy to identify, manage, and resolve issues. GL Solutions’ testing strategy consists of three types of testing—Preliminary Testing (Static, Unit, and Development), Integration Testing, and System Testing—each aimed at helping us meet our clients’ functional and deliverable requirements. Our focus on requirements traceability throughout your system implementation ensures that your business needs are met. Finally, we also support our clients in their execution of User Acceptance Testing.

**Preliminary Testing**

GL Solutions’ Quality Assurance (QA) team executes various preliminary tests in the early stages of your project design and development.

- **Static Testing:** Before programming even begins, GL Solutions tests the documents that will be used to develop your GL Suite system. The purpose of Static Testing is to identify defects early on, before starting development. Our QA Specialists perform Static Tests on the Phase 1 Use Case analyses, Phase 2 Workflow Diagrams, Phase 3 Self-Documenting Specifications, and Phase 4 Output specification documents. Our preliminary testing and defect correction of these documents ensures the development of a superior product in a shorter amount of time.
- **Unit Testing (Functional Testing):** GL Solutions Developers and QA Specialists conduct Unit Tests throughout the development process to confirm that the configured and developed functionality performs according to specifications.

Unit Tests occur iteratively between GL Solutions’ Development and QA teams. Once all rules required by a business process are developed, the Developer informs QA and a Specialist is assigned. GL Solutions Developers Unit Test programming code in isolation from the integrated system, to verify that the software works according to specifications. GL Solutions QA Specialists use the specification documents from phases 1-4 as models for developing test plans and verifying that functionality meets your system requirements. They perform a separate set of tests for each business process to verify low-level details of the screens, fields, and automation. GL Solutions will update specifications (if needed) and code to resolve defects and re-execute testing until any and all issues are resolved.

- **Development Testing:** GL Solutions’ QA team conducts Development Testing to confirm that developed or configured software functions according to requirements and properly interfaces with already programmed functionality. The intention of the Development Test is to “break” the software using standard industry testing techniques.

### **Integration Testing**

GL Solutions works with our clients' technical staff to conduct Integration Testing. Integration Testing determines if the GL Suite software properly interfaces with other systems and/or confirms that the website we have developed properly supports your business process needs. Integration Testing ensures that all inputs and outputs to your application are in place and functioning according to business process standards. GL Solutions will update specifications (if necessary) and development code and re-execute testing as required to resolve issues.

### **System Testing**

GL Solutions conducts System Testing on each business process from end to end. The primary goal of System Testing is to validate that the developed functionality meets specified business objectives. System Testing ensures that all functional deliverables execute without defect in the client's actual business process. This level of testing validates that all rules function correctly as part of the larger process and not in isolation. System Testing covers database, functional, and security testing.

System Tests occur iteratively between GL Solutions' Development and Quality Assurance (QA) teams. We perform a separate set of tests for each business process. If QA identifies any issues, they report them to Development.

### **5. User Acceptance Testing**

The objective of User Acceptance Testing (UAT) is for the client to validate that the system works as intended. UAT allows agency users to confirm that they are able to use the GL Suite system to perform their job functions and that the system will meet their business requirements. To perform UAT effectively and ensure that the required functionality has been created, it is important that clients allocate sufficient staff resources and time to the endeavor.

GL Solutions can provide training and guidance to designated client staff prior to beginning UAT to teach them how to test the system. GL Solutions will dedicate ample resources to resolving any identified issues quickly.

### **6. Test Plans**

GL Solutions' Quality Assurance Team develops test plans for each business process and all custom/external functionality. We design test plans to deeply investigate the functionality of every aspect of the system, including their interoperability. Our test plans are primarily based on the specifications approved in the earlier phases, which provided the basis for functional development.



Req #	Requirement
BID-12	Describe how the system provides application controls to prevent unauthorized use, maintain system process controls, and log all transactions. In addition, the system must provide security to limit availability to application functionality, software screens, data records, data elements, and data element values where appropriate.



**Response:**

GL Suite provides any level of granularity in system security. Clients or GL Solutions can configure a User Group for each staff role and set up unique and flexible security for each. The client decides which groups create, view, edit, and/or delete everything, including each screen, field, case type, calendar view, business rule, document, report, and much more.

GL Suite provides security at all levels within the system by incorporating leading-edge technology that ensures the security and privacy of data. With a new GL Suite system, user authentication options include LDAP, SQL Server Database, and ADS. Clients choose the authentication method that best suits their network environment. GL Suite provides the ability to add users and maintain user-level permissions, as well as create groups and maintain group-level permissions. Clients can also define different permissions for every screen and field, deciding what permissions override others.

Roles can be configured to represent organizational sections or specific responsibilities in your agency. Common user roles include licensing managers, licensing employees, cash processors, cash manager, claims staff, etc. The number of roles that can be created in GL Suite is unlimited. A particular employee can be assigned to one or more roles, and s/he will be granted permissions for all the roles to which s/he belongs.

GL Suite system security is so granular that security can be set differently for every component on a page. For example, clients can set different security to access or change each license type that is managed and assign rights permitting different people to configure different components of the system. GL Suite allows clients to set permissions on reports, correspondence, queries, batch functions, and literally every other functionality of the system, including business rules. For example, permissions can be set to restrict users from altering a registration's status if registration requirements have not been fulfilled. Exceptions can be handled in such a way that such rules apply only to specific users or roles but not managers.

GL Suite tracks all information and supporting records related to an entity (such as individuals, businesses, buildings, items, exams, and transactions) and organizes the information into a customizable Navigation Tree. It also tracks the associations between entities. For example, accountants and accounting firms are tracked as separate entities, but GL Suite also allows you to track bi-directionally which accountants work at which accounting firms. It will also track the history of these relationships and will enable you to see every firm that an accountant has worked with and/or all accountants who have ever worked for a specific firm.

Req #	Requirement
	<p>GL Suite will enable your agency to track every notification, task, correspondence, meeting, complaint, and any other information and supporting records related to an entity with ease. GL Suite saves the final version (as well as any modifications) of each correspondence with its related record for future use, referencing, or reprinting. GL Suite maintains historical information in perpetuity, so any type of correspondence can be easily retrieved, tracked, audited, and/or re-sent at any time.</p> <p>Historical information can be sorted chronologically or in ascending or descending alphabetical order by default, and users can choose to re-sort using a menu of predefined sort orders. When users pull up a record, they can quickly view historical information, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Activities related to each application and renewal</li> <li>• Information related to licenses, permits, and certificates</li> <li>• Address changes and other updates to contact information</li> <li>• Status changes</li> <li>• Complaints, inspections, investigations, and compliance</li> <li>• Fees, fines, invoices, and payments</li> <li>• Changes to attached files</li> </ul>



## General System Requirements

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
GEN-1	<p>Describe how the system includes intuitive, user-friendly dashboards and work queues for each staff person to process multiple steps within the system. Dashboards must be easy to configure to staff preferences and needs. The system must track and produce timely staff alerts that are configurable by license type, and place them into the work queue of the appropriate staff for processing. The system must include an intuitive way to view and transfer items between staff dashboards or work queues as needed. The system must automatically log communication, documentation, and changes to the records. The system must allow printing and reprinting of documents as needed. Data entry must update the database in real time.</p> <p>For example: (1) an application is submitted and placed on a data entry queue; (2) after entry, the application would move to an applications pending/checklist queue; (3) after all items are received and checked off, the application would move to a license issuance queue, which would include generating and printing licensure documents such as wall licenses, wallet cards, and certifications.</p>	X	X		
<p>Response:</p> <p>GL Solutions will meet this requirement. We will specify and configure work queue dashboards for each staff role which can facilitate the display and organization of tasks/work assigned to staff. During the design process, GL Solutions consults with your team to determine all of the dashboard functionality you desire. GL Suite provides dashboard functionality that alerts staff of deadlines and assigned tasks. Each staff member can have a dashboard that appears on his or her screen upon log in. Dashboards can be assigned to a user, position type, and/or group. Tasks can be color-coded to inform users instantly of their status (e.g. currently due, past due, no due date). Moreover, records, individuals, tasks, and cases listed in the dashboard are hyperlinked directly to an associated record.</p>					
GEN-2	Describe how the system will allow more than one user to be in the same licensee record at the same time, but allow only one user to make changes within the same part of the record at the same time.	X	X		
<p>Response:</p> <p>Core to the application, GL Suite prevents more than one user updating the record at one time. But the system allows more than one user to be in the same licensee record at the same time. A user receives an error message if an attempt to update the record is made after it has already been updated by another user.</p>					
GEN-3	Describe how the system will update the database as data is entered in real time, and keep a history of the changes made, who made them, and when.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response: GL Suite saves data entered into the software system in real time. Once an update to a screen or record is complete, clicking the Save button will save the data directly to the database.</p> <p>GL Suite tracks all information and supporting records related to an entity (such as individuals, businesses, buildings, items, exams, and transactions) and organizes the information into a customizable Navigation Tree. It also tracks the associations between entities. For example, accountants and accounting firms are tracked as separate entities, but GL Suite also allows you to track bi-directionally which accountants work at which accounting firms. It will also track the history of these relationships and will enable you to see every firm that an accountant has worked with and/or all accountants who have ever worked for a specific firm.</p> <p>GL Suite will enable your agency to track every notification, task, correspondence, meeting, complaint, and any other information and supporting records related to an entity with ease. GL Suite saves the final version (as well as any modifications) of each correspondence with its related record for future use, referencing, or reprinting. GL Suite maintains historical information in perpetuity, so any type of correspondence can be easily retrieved, tracked, audited, and/or re-sent at any time.</p>				
GEN-4	Describe how the system will provide customized views and available functionality by user group or role (role-based security). The system must allow non-relevant or non-public items to be hidden based on the user group or role.	X	X		





Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Suite provides any level of granularity in system security. Clients or GL Solutions can configure a User Group for each staff role and set up unique and flexible security for each. The client decides which groups create, view, edit, and/or delete everything, including each screen, field, case type, calendar view, business rule, document, report, and much more.</p> <p>GL Suite provides security at all levels within the system by incorporating leading-edge technology that ensures the security and privacy of data. With a new GL Suite system, user authentication options include LDAP, SQL Server Database, and ADS. Clients choose the authentication method that best suits their network environment. GL Suite provides the ability to add users and maintain user-level permissions, as well as create groups and maintain group-level permissions. Clients can also define different permissions for every screen and field, deciding what permissions override others.</p> <p>Roles can be configured to represent organizational sections or specific responsibilities in your agency. Common user roles include licensing managers, licensing employees, cash processors, cash manager, claims staff, etc. The number of roles that can be created in GL Suite is unlimited. A particular employee can be assigned to one or more roles, and s/he will be granted permissions for all the roles to which s/he belongs.</p> <p>GL Suite system security is so granular that security can be set differently for every component on a page. For example, clients can set different security to access or change each license type that is managed and assign rights permitting different people to configure different components of the system. GL Suite allows clients to set permissions on reports, correspondence, queries, batch functions, and literally every other functionality of the system, including business rules. For example, permissions can be set to restrict users from altering a registration's status if registration requirements have not been fulfilled. Exceptions can be handled in such a way that such rules apply only to specific users or roles but not managers.</p>				
GEN-5	<p>The system administrator must be able to limit the data elements that are available within a given security level for data searches and reports, so that data will not be released inadvertently. The system administrator must be able to define each data field as either public or restricted, and have restricted information available only to appropriate staff based on roles.</p>	X	X		
	<p><b>Response:</b>            GL Suite meets this requirement. The core of the software system allows users with the appropriate permissions and configuration knowledge to manage role-based security access to specific screens, commands, reports/correspondences, or fields within a screen.</p>				

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
GEN-6	Describe how the system will allow for administrator rights to oversee the systems, including the ability to configure multiple access rights and security levels based on user security profiles, to import/export/update/change data, and to configure and generate reports.	X	X		
<p>Response:</p> <p>GL Suite meets this requirement. The core of the software system allows any staff record to be associated to one or multiple roles. GL Suite manages permissions to the software system through role-based security. Administrative users will have the ability to be assigned multiple roles, including an administrator role, which will provide access to the GL Suite control panel where configuration and administrative functions are performed.</p>					
GEN-7	Describe how the system will attach documents, videos, photos, correspondence, and other documentation to licensee records by date, item category, security/access level, retention schedule, etc., as identified by staff. Describe how records will be stored and deleted according to the DHHS and State retention schedules.	X	X		
<p>Response:</p> <p>GL Suite will provide for retention, migration to archive and secure disposal of retained data based on DHHS retention and disposal. The system will hold all data and documents for as long as is required by the State, and then regularly archive or purge data and documents based on date and type, per the State’s needs. Disposal of data typically happens upon scheduled job, yearly or otherwise. The job is be specified to find data and documents of certain types (or all types) and to purge the data and documents from the system to meet strict records retention/disposal requirements. Preview reports can also be specified for generation in advance, to run the same criteria and provide a list of data to be deleted. Similar functions can be run for archiving data, removing it from the regularly used portions of a record and pushing it into hidden or less-frequently locations. In terms of archiving amounts, GL Solutions has never limited its customers as to the amount of data which could be stored in GL Suite or in attachments on records, among the clients we host, or the clients who host their own systems, and has not charged based on the amount of data stored.</p> <p>GL Suite automatically links uploaded documents to the record with which they are associated, making them accessible to authorized staff immediately or at any time in the future. Clicking the hyperlink will directly open the document in its native reader (for example Word documents open in Microsoft Word). With GL Suite, authorized users can retrieve and re-send uploaded documents as needed, and only authorized users can delete or re-index them. GL Suite’s security determines who can and cannot access these documents and what permissions they have, just as it controls who has access to the record itself.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
GEN-8	Describe how the system will have the capability for staff to designate the documents and data items that will be made available for online public access as they are entered.	X	X		
<p>Response:</p> <p>GL Solutions designs web pages to include specified document types from a record to be made available for online public access. Web pages are designed to provide access to data in accordance to the specification. If desired, we can configure a flag on a document type to indicate it is available for online public access once it is entered.</p>					
GEN-9	<p>Describe how the system will allow third-party updates to applicant and licensee records.</p> <p>Some examples include:</p> <ol style="list-style-type: none"> <li>1. Allow educational institutions to submit data regarding education on a licensee's record.</li> <li>2. Allow employers to submit nurse aide employment information, including adding new hires, updating current nurse aide rosters, and adding employment end dates, to update nurse aide applicant and licensee records.</li> <li>3. Allow employers to enter and update license information for licensed employees.</li> <li>4. Allow the child care rating system to add/update a rating level to a licensee's record.</li> </ol>	X	X		
<p>Response:</p> <p>GL Solutions can build custom interfaces for your system that will allow for all manner of data exchange between your agency and identified third parties. We build interfaces to support online credit card payments, criminal record checks, information updates, exam scheduling, scoring, and administration, and much more. We will work with the DHHS to identify any data-exchange interfaces to collect data from third parties. Data exchange interfaces are capable of performing updates to records as well as execute actions when specified data is brought into the system, such as firing off rules when continuing education is met.</p>					
GEN-10	Describe how the system will facilitate and document electronic and other correspondence, communication, and documentation, and automatically link it to the correct applicant/licensee records, complaints, inspections, disciplinary actions, non-disciplinary actions, etc. The system should save all incoming and outgoing communications within the applicant or licensee record, and provide a log for conversations via email, text, phone, in-person, etc. The system must provide templates for documents, reports, correspondence, etc., and allow staff to revise templates and create new documents and correspondence as needed.	X	X		

**Response:**

GL Suite includes a powerful and flexible email management system. Email Management helps an agency/business manage incoming and outgoing emails related to record in their GL Suite system, including all related attachments. Instead of having to manually route and attach relevant emails to their records, GL Suite provides an automated process for uploading emails to their correct records. This includes the original email sent out as well as all replies and counter-replies that occur throughout the email thread. Email Management includes an email thread viewer that allows staff to quickly scan all email communication related to a record and quickly access the original email and attachments, as well as send additional replies as needed.

Email management supports both manual and automated email generation. For example, if thousands of renewal emails must be sent out, GL Suite can do so automatically while still uploading the original version of the notice to each individual record. When the situation requires a more manual approach, GL Suite also supports the generation of emails manually by staff, which includes automatically merging in the data from the record that staff is processing and constructing the email based on a pre-defined template.

GL Suite Email Management includes the ability to define and maintain email templates using MS Word. Users can create and maintain email templates themselves rather than having to delve into complicated system code in order to modify the look or content of their email templates.

GL Suite includes the ability to generate notifications based on incoming emails. For example, if a constituent emails a reply to an email sent out via GL Suite, a notification can be configured to let staff know that a new message has been received and is ready for their attention. Email Management also includes queries that staff can run to locate any new emails received into the system.

### **Key Feature Summary**

- Generate emails from their related record in GL Suite utilizing Word-based templates
- Automatically store outgoing and related incoming emails on record
- Automatically upload email replies to relevant record
  - Staff can forward emails to the system email address to have them automatically upload to the correct record.
- Email thread viewer to view all outgoing and incoming emails, along with any attachments, related to the same record
- Ability to easily resend emails
- Detect and display failed emails
- Auto-generate and send batch emails, which are also uploaded individually to each related record
- Email attachments are automatically saved to the record with their corresponding email message
- Generate automated staff notifications to take action based on incoming emails
- Easily manage email templates; create new templates and modify existing ones as needed



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<ul style="list-style-type: none"> <li>When ordered along with Document Management, includes ability for emails to be sent into pending queue for review and assignment</li> </ul>				
GEN-11	Describe how the system will have an integrated validation module built into the software to ensure data submitted is accurate and valid. Spellcheck is required. For example, to ensure that text is not entered into date or numeric fields, numeric data into alpha text fields, etc.	X	X		
<p><b>Response:</b>            GL Suite ensures data integrity both by system design and by rule configuration. GL Suite’s database structure is static—neither GL Solutions nor our clients modify core database tables. This fact in itself assures high-level data integrity.</p> <p>Data integrity is also maintained during data entry. Data validation and error detection are regular GL Suite capabilities and are available on both the public-facing web interface and the back-office interface. For one, whenever feasible, we can create dropdown menus with pre-selected text for users to select. This ensures that data entered is appropriate and correctly inputted from the beginning. Additionally, GL Suite has a standard set of verification rules, such as for phone numbers, dates, and Social Security numbers. The system prevents invalid data entries, such as entering an invalid date in a <i>Date</i> field, by various means. First, we designed GL Suite’s core code to prevent users from entering and saving invalid dates to the database. Second, we have configured rules that reformat dates entered in diverse formats to be consistent. If the date entered is invalid, the system will prompt the user with an alert and prevent the data from entering the database. This is important because it allows for consistent and accurate data mining/reporting.</p> <p>GL Suite can ensure that the inputted city and state match the zip code and that addresses entered are only from a particular state. We can configure every property to be either required or optional, and each can have its own set of validation rules. At each step, users can be restricted from continuing if information is missing or improperly entered. We can create any sort of verification rules necessary for your system’s efficiency and accuracy.</p> <p>GL Suite can also be configured to return a variety of messages to assist users when data entered is incomplete or incorrect. GL Suite validates that data has been entered correctly upon Save. If data is entered incorrectly or insufficiently, upon Save GL Suite will present prompts according to business rules logic. For example, if business rules require that a staff member be assigned to each application and a staff member is not assigned, GL Suite will notify the user.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
GEN-12	Describe how the system will allow staff to set the records retention schedule for documentation at the time of entry/creation, and automatically notify staff when documents are eligible for destruction, based on a specified destruction date. Staff must be able to approve destruction or change the destruction date as needed.	X	X		
<p>Response:</p> <p>GL Suite is designed to retain historical information in perpetuity. If desired, GL Suite can be configured to archive or purge data after a specified period of time. We will configure business rules which will archive/purge data once the data has reached a particular date. We can configure an Archive/Purge date field which will automatically be populated by business rules once the data is created within the system. The business rules will set the Archive/Purge date to a specified period in the future, which can be updated by users with the appropriate permissions.</p>					
GEN-13	When working with a licensee record, describe how the system will be able to list all of the addresses associated with the license, and provide an option to print a selected address on an envelope or label without creating a mail merge into another document.	X	X		
<p>Response:</p> <p>GL Suite retains different address types across different screens. Our standard practices are to include address types such as Mailing Address, Physical Address, etc. We will configure GL Suite to provide a checkbox between address types that will indicate the preferred method of contact. Correspondences will be configured to utilize the preferred address to print on an envelope or label when generating the correspondence.</p>					
GEN-14	Describe how the system will store images, letterhead, templates, and electronic signatures used on multiple documents in one location.	X	X		
<p>Response:</p> <p>GL Solutions will meet this requirement. We will specify and configure GL Suite to utilize letterhead templates, stored images and electronic signatures which will be configured and stored in a single location. When designing and developing an output, GL Solutions will create a template for each required letterhead to be used in the required output. Providing a standalone template for each letterhead ensures consistency between output designs, despite how different the output might otherwise be. In addition, having a template for a letterhead allows for ease of updates when changes need to be made to any aspect of the letterhead, such as names, titles, phone numbers, etc.</p>					
GEN-15	Describe how the system will verify all addresses and zip codes as the data is entered, such as validating entries against a USPS Address lookup file, and provide the option to input the recommended address information instead. ZIP+4, the additional 4 digits of the zip code, should be added by the system based on the address chosen.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions will meet this requirement. With the Address Data Lookup and Mapping functionality, GL Suite queries external data sources to obtain the data. GL Suite then uses the external data to validate the system data. For example, the functionality helps to verify address data, such as zip codes.</p>					
GEN-16	<p>Describe how the system will allow data searches on each data and text field and on combinations of several data fields. The system should include partial name and “sounds like” search parameters. A minimum of 15 search results should show on a screen at the same time with no scrolling required to view them, with additional results available by scrolling.</p>	X	X		
<p>Response: GL Suite’s ad-hoc reporting tool, GLS Report, allows users to create on-the-fly reports using a user-friendly interface. Authorized users can generate reports based on any field or combination of fields they desire. They can choose precisely the type of data they want to see, and they can sort and manipulate the returned results. GLS Report respects the system’s role-based security so users only see data appropriate to their role. Results can be displayed on-screen at 10, 20, and 50 results per page.</p> <p>Users can export the results of ad-hoc reports to a variety of formats to share the information with others. If an ad-hoc report proves useful it can be saved to a menu. Later, it can be re-run to reflect the most current system information.</p> <p>GLS Report requires no updating or maintenance. Any changes made to the system through the Configuration Utility are instantly reflected in GLS Report; therefore, ad-hoc reports dynamically display data in real time.</p>					
GEN-17	<p>Describe how the system will track licensees and link the records of all of their licenses, the full history of each license, all related documentation, and all disciplinary actions in progress and taken against each license. When a new application is entered for an individual or establishment, a notification regarding any other licenses associated with the applicant must pop up during data entry.</p>	X	X		



**Response:**

GL Suite is a proficient tool for managing and tracking entity information. Using GL Suite, staff at your agency can enter, maintain, and track a history of every regulated entity including ownership, entity attributes, activities of interest, physical characteristics, and more. Records for entities can include/require any information you desire, and GL Suite will track and maintain a history of all inputted information in perpetuity.

Once agency users create a record for an entity (such as an individual, business, group, facility, etc.) in GL Suite, all of the entity's information—from the very first day of the association with your agency to the very end—is located in one place. The record's Navigation Tree displays all of the information being tracked and stored for the entity including address, location features, licenses held (including license status, inspection information, payment information, and more), business owner, and applications submitted. When information about an entity changes over time, GL Suite will maintain a record of both past and current information. For example, when a business undergoes an ownership change, GL Suite maintains a record of the past owner and all of the information associated with that owner as well as the current owner's information.

If users require more information about an item listed in the Navigation Tree, they simply click on any item in the Tree. With this powerful feature, agency staff can gain a complete picture of any given entity, all from one screen.

Not only does GL Suite track all information and supporting records related to an entity, but it also tracks the associations between entities. For example, entities and licensing agencies are tracked separately, but GL Suite also allows you to track bi-directionally what entities are regulated by what agencies. It will also track the history of these relationships and will enable you to see every other entity that an individual has interacted with and/or all entity that have ever been regulated by or even fined by a specific agency.

GL Suite will enable your agency to track every notification, correspondence, meeting, complaint, supporting records/documents related to an entity with ease. GL Suite saves the final version (as well as any modifications) of every correspondence with its related record for future use, referencing, or reprinting. GL Suite maintains historical information in perpetuity, so any type of correspondence can be easily retrieved, tracked, audited, and/or re-sent at any time.

Historical information can be sorted chronologically or in ascending or descending alphabetical order by default, and users can choose to re-sort using a menu of predefined sort orders. When users pull up a record, they can quickly view historical information, including but not limited to:



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<ul style="list-style-type: none"> <li>• Activities related to each entity</li> <li>• Information related to licenses, permits, and certificates</li> <li>• Address changes and other updates to contact information</li> <li>• Status changes</li> <li>• Complaints, inspections, investigations, and compliance</li> <li>• Fees, fines, invoices, and payments</li> <li>• Changes to attached files</li> <li>• Anything else tracked in GL Suite</li> </ul>				
GEN-18	For licensees that have more than one license in process, describe how the system will display multiple application status checklists at once. For example, display both checklists for an individual that has both a PLADC and PLMHP application pending, or all applications, names, and street addresses associated with an establishment.	X	X		
	<p>Response:</p> <p>GL Suite tracks different licenses and their requirements separately. Each application or license type contains its own collection of requirements and data such as document uploads, screens to enter data, and requirements tasks. When a licensee has more than one license in process, the requirements checklists for each application type are displayed individually under their collection. In addition, GL Suite provides a summary glance at a records information in a sub-form. The sub-form contains information such as contact information, active licenses, pending applications, outstanding requirements, and pending fees all in one spot.</p>				
GEN-19	<p>When an applicant is issued a new license, describe how the system will have the capability to automatically null and void specific licenses previously held by the applicant, as specified by staff for the license type, within the same license type or other license types.</p> <p>Examples include:</p> <p>If an APRN license is issued to Brad, his current RN license would remain active.</p> <p>If an LPN license is issued to Janet, her current Medication Aide license would be made null and void.</p> <p>When Diane's Child Care is approved for an operating/non-expiring license, the current provisional license will be made null and void on its expiration date, and a non-expiring license issued at that time.</p>	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions will configure business rules which will automatically deactivate an existing license when a new license is issued. For example, we will configure business rules that when a license is issued, provisional licenses of the same type will be set to Inactive.</p>					
GEN-20	The system administrator must be able to initiate, modify, and configure Nebraska-specific requirements for each license type. Core information is consistent between the different licenses.	X	X		
<p>Response: GL Suite meets this requirement. The core of the software system is highly configurable and can be configured by anyone with the appropriate permissions and configuration knowledge.</p>					
GEN-21	Describe how the system will calculate averages, percentages, days between, deviations, etc. between multiple data elements.	X	X		
<p>Response: GL Solutions configures business rules to calculate averages, percentages, days between, deviations, etc. between multiple data elements. We will configure business rules to handle any calculations for data, dates, fees, or other information to be automatically executed within the GL Suite software system.</p>					
GEN-22	Describe how the system will accommodate AKA (also known as) identification, previous names, and DBAs (doing business as) for licensees who either legally change their name or go by another name. The system must track and associate facility name, ownership data, and survey results by the facility address, such as the record for a nursing home at 123 Main St. shows a history of the companies and DBAs that operated the nursing home, and all inspection results and compliance findings for the facility.	X	X		
<p>Response: GL Solutions maintains a history of contact information, including name information. Names are stored within an individual collection, tracking the current name as well as any previous names and the date the name change went into effect. AKA and DBA names are handled as separate name types. Records can contain an active name, as well as an active AKA or DBA name, although only one name of each type can be active on a record.</p>					
GEN-23	Describe how the system will incorporate data entered online (sometimes automatically and sometimes after staff approval); auto-fill information that has been duplicated in other parts of the database, checklist, or license information document; and allow staff to update that information as needed. All changes, as well as the staff person making/approving the changes, should be documented and the old information archived.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Suite stores data in one place. Rather than duplicate the data elsewhere, GL Suite associates areas not within the same record. GL Suite allows staff to update information as needed. GL Suite tracks all changes made in the system by the date and timestamp of the change, the staff person who made the change, and the previous and updated values. GL Suite performs this with an audit history on every single screen.</p> <p>Web pages in GL Suite work with the backend. GL Solutions designs screens within GL Suite first, then designs web page workflows to follow a logical order to collect data. This data saves directly into GL Suite the same way it would be recorded for a back-office workflow.</p>					
GEN-24	If an individual licensee's contact information is updated on one license, either online or by staff, records for all licenses held by that licensee must automatically be updated.	X	X		
<p>Response: GL Suite meets this requirement. Contact information within a record is recorded separately from other information, such as application/license information. GL Suite organizes record data in a hierarchy, segregating record data into collections. Address information is organized into one collection, name information is organized into another collection, with licenses and applications typically organized in separate collections. An update to contact information on a record will apply to all licenses/applications currently held or in progress on that entity's record.</p>					
GEN-25	The system administrator must be able to access and edit the questions/instructions/etc. on renewals, applications, and all other forms/templates, whether online and paper.	X	X		
<p>Response: GL Suite meets this requirement. The core of the software system is highly configurable and can be configured by anyone with the appropriate permissions and configuration knowledge.</p> <p>GL Solutions' Client Developer Training provides a method for agencies to self-sufficiently support their GL Suite application. The Client Developer Training helps the agency staff trainees to perform necessary support functions for their GL Suite system.</p>					
GEN-26	Describe how the system will accommodate input of historical / legacy license records with limited data and documentation. All data needs to be migrated (active/inactive), be editable, and be used in reports.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions migrates historical data into the database structured and organized appropriately. We have provided our data conversion methodology, which addresses the import of legacy data, as our response to BID-2.</p>					
GEN-27	<p>Describe how the system will support entity types and address types. Examples of entity types are as follows: individuals, businesses, facilities. Address change capability must be available to individual licensees at any time on the website, and as part of renewals.</p> <p>Only individuals can change their address. Establishments are not allowed to change their address.</p> <p>Reference Attachment One, Type and Number of Licensees.</p>	X	X		
<p>Response: GL Solutions will specify and configure different address types to be stored within a record. Typical address types include Mailing Address and Physical Address. We can configure any address type to be contained within a record that is required. Business rules will be configured that will automatically mark an address as Previous when a new address is entered to a record.</p>					

**Initial Licensure and Examination Requirements**

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ILA-1	<p>For <b>individual licensees</b>, describe how the system will capture and maintain core demographic information. Core demographic information must include at a minimum:</p> <ol style="list-style-type: none"> <li>7. Name, including first, middle, last, maiden, AKA, etc.</li> <li>8. Date and place of birth</li> <li>9. Social Security Number – the full number must not be displayed in any reports or other documentation unless approved by DHHS</li> <li>10. Contact preference, identified as phone, text, email, mail, etc.</li> <li>11. Multiple email addresses, identified as home, work, school, designated contact address, etc.</li> <li>12. Multiple phone numbers, identified as home, work, cell, notification text, etc.</li> <li>13. Home address</li> <li>14. Multiple mailing addresses (work, home, etc.)</li> <li>15. Date of death</li> <li>16. School, education type, and date of graduation, with drop-down lists of approved schools and coursework</li> <li>17. Type and date of examination, pass/fail notation, and ratings or grades received, if any</li> <li>18. Application/license type, issuance date, license status, license number, unique person identifier, and basis on for license issuance</li> <li>19. Compact-related information, including declared state of residence and declaration date</li> <li>20. Description of all disciplinary action pending or taken against the licensee, including the type of disciplinary action, the effective date range of the disciplinary action, a description of the basis for disciplinary action, etc.</li> <li>21. Any additional data fields DHHS deems appropriate.</li> </ol>	X	X		
<p><b>Response:</b>            GL Solutions will meet this requirement. We will specify and configure GL Suite to capture the above listed demographic information. Typical demographic information such as contact information will be uniform across individual records, with each data set contained within a collection. GL Suite organizes data by collections. For example, addresses will be stored within an address collection, names will be stored within a name collection, and applications will be stored in an application collection. Contact preference will be identified within the address objects by providing a checkbox that will indicate the primary address. Another checkbox can be configured to identify whether the user prefers contact by email or mail.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ILA-2	<p>For <b>establishment licensees</b>, describe how the system will capture and maintain core demographic information. Core demographic information applicable to the license type, must include at a minimum:</p> <ol style="list-style-type: none"> <li>1. Physical location of the establishment</li> <li>2. History of establishment ownership and compliance by physical location</li> <li>3. Contact preference, identified as phone, text, email, mail, etc.</li> <li>4. Multiple email addresses, identified as work, designated contact address, etc.</li> <li>5. Multiple phone numbers, identified as desk, cell, fax, notification text, etc.</li> <li>6. Licensee name, DBA name, facility number, license type, license number, issuance date, expiration date, status, and basis for license issuance</li> <li>7. Occupancy certificate, including date and issuing authority</li> <li>8. Multiple mailing addresses and contact information (corporate headquarters, branch/satellite/off-site/practice locations, etc.)</li> <li>9. Ownership information, including names, dates served, physical location, contact information, ownership type, non/profit status</li> <li>10. Number of beds/capacity</li> <li>11. Population served, including hours and age ranges for child care licensees.</li> <li>12. Geographic service area (multiple county names with start and end dates per county)</li> <li>13. Services provided (multiple entries with start and end dates per entry)</li> <li>14. Management personnel (multiple entries with start and end dates per entry)</li> <li>15. Disciplinary history, including each disciplinary action taken, start and end dates of each action, and a summary of the situation that resulted in the disciplinary action</li> <li>16. The establishment's TIN/FIN/W-9</li> <li>17. Any additional information DHHS deems appropriate.</li> </ol>	X	X		
<p><b>Response:</b>            GL Solutions will meet this requirement. We will specify and configure GL Suite to capture the above listed demographic information. Typical demographic information such as contact information will be uniform across establishment records, with each data set contained within a collection. GL Suite organizes data by collections. For example, addresses will be stored within an address collection, names will be stored within a name collection, and applications will be stored in an application collection. Contact preference will be identified within the address objects by providing a checkbox that will indicate the primary address. Another checkbox can be configured to identify whether the user prefers contact by email or mail.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ILA-3	<p>Describe how the system will calculate prorated fees and initiate refunds for individual licenses and groups of licenses, based on license type-specific requirements.</p> <p>For example, Jane applied for an RN license in July, with payment of \$123. Jane met all requirements for a nursing license on October 15. The nursing renewal date is October 31. If Jane chooses to have her license issued on October 15, the system must automatically calculate and default to the pro-rated fee (\$30.75), and initiate a refund if necessary (\$92.25).</p>	X	X		
<p>Response:</p> <p>GL Solutions will configure business rules to handle calculations for prorated fees and initiate refunds for licenses based on the license type-specific requirements. We will configure business rules that will calculate the fees of an invoice according to the date the licensee applies. The business rules will automatically set the cost of the invoice based on the date.</p>					
ILA-4	<p>Describe how the system will generate/document license issuance correspondence and licenses after all licensure requirements are met, and accommodate/schedule license issuance dates in the future.</p> <p>For example, Jane met all requirements for a nursing license on October 15. The nursing renewal date is October 31. If Jane chooses to have her license issued after the renewal date, the system must track her future license issuance date and generate a license on the specified date.</p> <p>Another example: a provisional child care licensee has met all requirements for an operating/non-expiring license on March 1. The provisional license doesn't expire until April 1. The system must track the expiration date of the provisional license, and generate the operating license with the effective date of April 1.</p>	X	X		
<p>Response:</p> <p>GL Solutions will specify and configure GL Suite to record the date the license is issued, as well as the expiration date based on the current date and license period. We will configure business rules which will run on a scheduled job to generate license renewals using the license expiration dates. For the first example, we would configure business rules which will automatically set the Expiration Date based on the license issuance date. For the second example, we would configure business rules that will mark the provisional license as Expired once the expiration date is reached. A scheduled job will generate the operating license in a status of Active upon the Issue Date of April 1.</p>					
ILA-5	<p>Describe how the system will allow issuance of licenses with or without a specified expiration date or application/renewal/annual fee.</p>	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to support the issuance of licenses with or without a specified expiration date or fees. We can configure GL Suite to support any number of requirements for licensure. Licenses can be issued to automatically designate an expiration date or contain no expiration date if desired. Fee requirements can be incorporated into the workflow or left out if they are not required.</p>					
ILA-6	<p>Describe how the system will separately track the Declared Primary State of Residence (PSOR), declaration date, and license compact status (single-state or multi-state) for licenses subject to compact agreements. Changes in PSOR must <u>not</u> change the license compact status.</p> <p>If a license subject to a compact agreement is under disciplinary limitation, the license compact status must automatically be set as single-state, and maintained as single-state until the disciplinary limitation is removed.</p> <p>Describe how the system will determine if states in address field and states in PSOR field are compact or non-compact states for that particular license type. If licensees update their mailing address state or PSOR, the system would use a decision tree to determine if a) a notification must be sent to the license-type-specific staff work queue for review and processing, b) the license compact status must be automatically changed, or c) no additional actions are necessary.</p>	X	X		
<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to allow licensees to designate their Primary State of Residence, the declaration date, and the license compact status. We will configure GL Suite to provide a Declared PSOR separate from their main address objects.</p>					
ILA-7	<p>Describe how the system will track and show the status of each application requirement, and generate/document deficiency notifications. The system must identify and track the status of incomplete applications, calculate the number of days between receipt date and license-type-specific destruction date, generate appropriate correspondence, and alert staff of applications that are due to be destroyed. Staff must be able to assign retention according to retention schedules, and the system should notify staff to approve destruction or extend the destruction date.</p> <p>For example, Jane sent in an application that didn't include citizenship status documentation, and a system-generated letter/email notified Jane of the deficiency. Jane didn't send in the documentation within 90 days, so her pending application should be sent to a work queue for staff to assess an administrative fee, initiate a refund, remove the application from the pending application process, and destroy the file.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p><b>Response:</b>            GL Solutions tracks application requirements through requirements tasks. When an application requirement is completed, business rules automatically the task status as Complete. For example, if a document is required for an application and the document is uploaded and saved, business rules will mark the document requirements task as Complete.</p> <p>We will configure an Application Deficiency letter to inform applicants that their submission still has outstanding requirements. The correspondence will be designed to dynamically populate according to the incomplete requirements tasks.</p> <p>We will also configure a work queue dashboard that will populate with records that have incomplete applications. The work queue will identify applications based on pre-defined criteria such as no documentation received within 90 days to process any additional actions such as initiate a refund, remove the application from the pending application process, etc.</p>					
ILA-8	Describe how the system will accommodate and document applications for a license obtained by examination, reciprocity, or application. The system must document the jurisdiction, declared primary state of residence, the date declared, and whether the license is single-state or multi-state. License types each have their own application forms. No two license types have exactly the same requirements or number of processing steps.	X	X		
<p><b>Response:</b>            GL Solutions will meet this requirement. We will specify and configure business process workflows to accommodate each type of license application. Each business process workflow will contain requirements unique to the application type. We will provide a self-service website to facilitate applicants submitting their application information, documentation, and pay any fees required for the initial application. Users will set up a secure login to the self-service website. Upon logging in, the user will be walked through a series of web pages designed to collect data and documentation.</p>					
ILA-9	Describe how the system will incorporate examination features such as scheduling exams, retaking exams, proctoring, national test integration, score integration, non-applicant examinations, etc. The system must allow staff to register applicants for examinations, create sign-in sheets, verify the identity of applicants, administer tests, link applicant records, allow score uploads from providers, create related letters/emails, and track communication with applicants.  The system must document exam data, such as administrator, type of exam, scores, etc., for each exam taken. The number of exams taken must be tracked and alert staff when the limit for the license type is reached, if applicable.	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Suite can give your agency the ability to administer exam offerings, assign examiners to them, and manage examiners. We can enable you to administer exams as a manual process, or we can create a digital interface so that data comes in automatically.</p> <p>We offer similar functionality to one of our customers. They manually schedule their exams using GL Suite. A nightly batch job then collects and sends that information to a testing center for scheduling. Once tested, each individual's pass/fail information is automatically sent to the GL Suite system and his/her record is automatically updated.</p> <p>GL Suite can be designed to perform many of your exam processes automatically, including generating and sending eligibility notices appropriate for different outcomes. Exam results, assessments, correspondences, etc. will all be automatically stored with the individual's record, making it easy for your staff to develop a comprehensive understanding of an applicant's history and status. In the future, GL Suite 6 will interface with third-party exam systems to maintain the latest exam information, modify license status when applicable, and notify staff and licensees.</p>				
ILA-10	Describe how the system will provide an online account system with an intuitive interface for applicants to securely submit application materials/fees, get receipts, check the status of applications, schedule examinations, and view their scores/results. Online data entry must be interactive, with popups of current/past licenses, current contact information, proposed corrected address information, ZIP+4, etc., as specified in GEN-15. Describe how the system will maintain an electronic record of all online applications, payments, and status changes.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Solutions can design and implement the public-facing web functionality for the DHHS. GL Solutions has many years of experience designing public-facing websites—we have developed sites for most of our clients. We will build your website to meet your particular needs.</p> <p>GL Solutions will create a public-facing website that provides all of the self-service functionality your agency requires. At the same time, it will be designed with checks and balances to ensure that members do not submit duplicate applications, that information inputted is correct and consistent, etc. We will design your website with Style Sheets for the look and feel, validations, and self-service tools your agency requires.</p> <p>Your public-facing website can provide members and the public with 24x7 access to online services including:</p> <ul style="list-style-type: none"> <li>• Online applications and renewals</li> <li>• Document requests</li> <li>• Application/renewal status checks</li> <li>• Updates to contact information</li> <li>• License verifications</li> <li>• Integrate with third-party payment processors</li> <li>• Deposit funds immediately to financial accounts</li> </ul>				
ILA-11	<p>Describe how the system will link and track the requirements of a secondary Provider Status Certification at the same time that the primary license application is being processed (i.e., a dental anesthesia permit for a dentist, or a nurse anesthetist certification for a registered nurse).</p> <p>Describe how the system will require that the primary license be issued first, before any dependent license can be issued.</p>	X	X		
	<p>Response:</p> <p>GL Solutions will meet this requirement. We will specify and configure GL Suite to contain secondary licenses as a child of the primary license. We will configure GL Suite to contain the secondary license collection within the primary license collection. We will configure business rules that will validate the primary license has been issued and processed prior to the approval of the secondary license. Each license will contain its own requirements.</p>				

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ILA-12	<p>Describe how the system will provide a unique identifier for each licensee, each establishment's physical location, and a cross-reference mechanism for licensees who hold more than one primary license.</p> <p>For example, Dr. Smith holds a current dental license and a current medical license, or a hospital holds a current hospital license and a current long-term care license.</p>	X	X		
<p><b>Response:</b>            GL Solutions will meet this requirement. Our standard practices are to provide a unique identifier for each licensee record. The unique identifier will be generated upon the creation of the record.</p> <p>GL Suite is designed to facilitate easy tracking of multiple sets of data. A record contains a hierarchy where the record is the main source of data, and items such as licenses are contained within collections. A record will be able to contain multiple licenses or applications concurrently, allowing the requirements of each license/application to be tracked independently.</p>					
ILA-13	<p>Describe how the system will maintain and track multiple related supervisor/supervisee licenses, with start and end dates for each, and not allow the maximum number of supervisees for a license type to be exceeded. The system must not allow license issuance until applicants for a supervisee/dependent license have entered into an agreement with a qualified, active licensee to supervise their work. The system should display all dependent licenses for a supervising licensee on one screen. Staff will review and approve/deny supervision relationships prior to license issuance. Approximately twenty (20) license types need to establish and track supervisors and/or employers.</p>	X	X		
<p><b>Response:</b>            GL Suite allows you to link related entities using association screens, which track and display the appropriate relationships, whether those relationships are one-to-one or one-to-many. Association screens are click-through, providing agency staff with an intuitive visual representation of the relationships, as well as the ability to have multiple records open at any given time. Business rules will automatically set the start date when an association is created, and an end date when the association is inactivated.</p> <p>We will configure business rules which will prevent associations of any specified type to be assigned if a maximum number of that association type has been reached. In addition, we can configure validation rules that will prevent the issuance of a license or the creation of an application when specified associations do not exist or other criteria is present.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ILA-14	Describe how the system will allow supervisors and supervisees to initiate, update, and terminate their supervision arrangements online. The system should generate and document alerts to staff and to all licensees involved in the arrangement when changes are made, and provide a method for those involved to indicate their approval of changes made. Staff will review and approve or deny the updated supervision relationships, and notify the supervisor and supervisee(s) of approval or denial.	X	X		
<p>Response:</p> <p>GL Solutions will meet this requirement. We will specify and configure the self-service website to facilitate supervisors and supervisees to initiate, update, and terminate their supervision arrangements online. The self-service website will provide logged in users with the ability to manage their supervision details. Supervisors will have the ability to search for employees that they supervise and initiate the supervisor association. Supervisees will be notified and have the ability to log in and accept or deny the association. We will configure business rules that will automatically generate dynamically populated correspondences whenever a specified action is initiated or completed.</p>					
ILA-15	Describe how the system will generate and document alerts if a supervisor's license is disciplined, revoked, or inactivated. Supervisees should be notified immediately, as they are not allowed to work without an active licensee's supervision. Alerts should also go to the staff responsible for the license type, so that they can inactivate, void, or put a hold on all of the supervisee licenses. Some license types require that the supervisee license status is changed automatically under specific circumstances.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            In addition to staff notifications, certain manual and automated correspondence types can be used to notify applicants, licensees, complainants, etc. of action required, or to provide status updates. These can be in the form of emails or mailed letters generated by users in the system triggering them, or from scheduled jobs as warnings at certain times of year, or upon status changes. Rules on append or update of any data in the system can be used to trigger notifications to add correspondence to a queue to be sent out.</p> <p>GL Suite’s alert capabilities can be customized to suit any agency’s needs. It can display any number of alerts at any time, each having its own information and business rules defined by your agency’s needs. GL Suite can display a list of alerts for internal users in each section or department of your agency as soon as a user logs into the system. Alerts can automatically be added to a user’s Home Screen view, included in reports, and/or included in an e-mail alert to identified staff members.</p> <p>GL Suite can be tailored to send automatic emails notification to licensees. GL Suite can notify licensees that renewals are pending, that license requirements have been met, that an application is complete, and more.</p> <p>Users can manually generate email notifications one at a time or generate them in an automated batch job. Once a notification is selected or scheduled for batch printing, GL Suite does everything else including merging pertinent data into renewal notice templates and storing electronic copies with each applicant’s record.</p> <p>GL Suite offers alert capabilities that can be customized to suit your needs. GL Suite can display any number of alerts at any time, each having its own information and business rules defined by your agency’s needs. GL Suite can display a list of alerts for internal users in each section or department of your agency as soon as a user logs in, and each can have unique alert types, information, timing, and more. Alerts can automatically be added to a user’s Home Screen view, included in reports, and/or included in an e-mail alert to identified staff members.</p>				

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ILA-16	<p>Describe how the system will link and track the status of an application when a temporary license has been issued.</p> <p>For example, Jane Doe moves to Nebraska and makes application for a nursing license. Jane is given a temporary nursing license, based on her licensure in another jurisdiction, so that she can begin working while her permanent license application is being processed. The system must maintain the temporary license record while allowing processing of the permanent license application. The system must maintain the historical data reflecting both licenses that are tied to the individual.</p>	X	X		
<p>Response:</p> <p>GL Suite links and tracks the status of an application when a temporary license has been issued. GL Suite is capable of maintaining application and license history for multiple license types within the same record. The software system is designed to retain all historical license information unless otherwise specified. Multiple licenses can exist on the record while other licensing activities such as an application can be processed without impacting each other.</p>					
ILA-17	<p>Describe how the system will allow employers to upload/import/enter employee rosters to update individual applicant/licensee employment records, including start and end dates, and accommodate multiple employers for each licensee.</p> <p>For example:</p> <p>Jane Doe, a nurse aide applicant, will be working for Good Samaritan Nursing Home, Home Health Care Services, and Shady Rest Nursing Home. Each of her employers should be listed on her applicant/licensee record, with attached start and end dates for each.</p> <p>Shady Rest Nursing Home should provide a quarterly report of their employees and their dates of employment, including new hires and terminations.</p>	X	X		
<p>Response:</p> <p>GL Solutions will meet this requirement. We will specify and configure GL Suite to allow employers to enter employee rosters to update individual applicant/licensee employment records. Employers will have a self-service website to facilitate the entry of data related to their employee rosters. The web portal will allow employers to log in and make updates to specified information, such as start and end dates, related to their employment. We will configure GL Suite to use associations to designate the employer/employee relationship. GL Suite will allow multiple employers to be associated to a single license.</p>					
ILA-18	<p>Describe how the system will accommodate the nursing and faculty loan program, including contact information, loans, payments, etc. Data is currently stored in a small database regarding recipients, loan amounts, payment data, and current amounts owed. DHHS envisions migrating this data and creating payment tracking functions in the system, much like other accounting transactions.</p>	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to support the nursing and faculty loan program business process. We will design and configure a business process which will address the applicable requirements and tracking to facilitate the loans, payment data, amounts owed, and the payment of loan fees. We will migrate existing records regarding the loan program into the GL Suite software system.</p>					
ILA-19	<p>Describe how the system will accommodate the following three (3) exam types.</p> <ol style="list-style-type: none"> <li>1. For online examinations DHHS envisions the examinations currently conducted online via Survey Monkey and ProProfs to be administered via the personal online accounts. DHHS would be notified by the system of detailed score reports that are linked to the applicant's record.</li> <li>2. For in-person exams, DHHS envisions applicants being notified of approval to take the examination, and scheduling the examination via the personal online accounts.</li> <li>3. For examinations administered by others, DHHS envisions staff notifying the applicant and the testing entity via the personal online accounts that the applicant was approved to take the examination. Exam companies would interface with the system to enter score reports on the applicant's record.</li> </ol> <p>DHHS must be able to run attendance sheets for use during the exam. DHHS also enters exam scores, some by exam section, and some are calculated fields. Staff would manually enter the score reports to be linked to the applicant's record. Some exams must be administered periodically, depending on the license type, as a condition of renewal.</p>	X	X		





Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response: GL Solutions will meet this requirement.</p> <p>For the first example, GL Solutions will provide an online self-service website to facilitate the sign up of the exam. The licensee would be provided a link to the Survey Monkey and ProProfs exam. GL Suite would record the results of the exam, and business rules will determine if the licensee passes or fails the exam.</p> <p>For the second example, GL Solutions would create an entity type for the exam provider and the available exams and exam times. The licensee would receive a notification that they are eligible/required to take an exam, along with the details of the exam type. The self-service website would facilitate allowing the licensee to sign up for an exam, choosing an exam date and time from the pre-defined exam time slots.</p> <p>For the third example, GL Solutions would use a similar method as the second example. An exam provider entity would exist within the system, with the third party managing their exam slot dates and times. The licensee would sign up for the exam, choosing a date and time slot. The exam provider would record the results of the exam, and pass the information through an interface directly into the GL Suite software system.</p>				



## Renewal Licensure Requirements

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
RLA-1	Describe how the system will be able to assess and process periodic fees for license types without expiration dates, according to license-type-specific requirements and timelines.	X	X		
<p>Response:</p> <p>GL Solutions will meet this requirement. We will specify and configure GL Suite to produce invoices for assessed and periodic fees for license types without expiration dates. We will configure a scheduled job for each periodic fee that will identify based on the license issuance date when the next fee is due. The invoice itself will contain a Due By date.</p>					
RLA-2	Describe how the system will allow automatic and manual initiation and closure of renewal periods, according to license-type-specific requirements and timelines. The initiation process must automatically assess a renewal or annual fee, if required for the license type. Staff must be able to override an automatic initiation and cancel all fees.	X	X		
<p>Response:</p> <p>GL Solutions will meet this requirement. For automatic renewal initiation, we will configure scheduled jobs for each license type. The scheduled job will run on a nightly, weekly, monthly, or annual basis depending on the renewal periods. The scheduled job will identify licenses that are approaching their renewal period and generate a renewal license in a status of Pending along with any requirements and renewal fees.</p> <p>For manual renewals, either DHHS staff or the licensee will have the ability to initiate the renewal. The licensee will have the ability to log into the self-service website to initiate the process. Upon initiating the renewal process, GL Suite will automatically generate the renewal license in a status of Pending, any requirements and renewal fees.</p>					
RLA-3	Describe how the system will generate renewal and fee notices prior to expiration, in accordance with the requirements for each license type, for all licensees of a specific license type. Different license types are renewed monthly, annually, biennially, every three years, or every four years, based on the expiration date for the license type or the anniversary of the issuance date. License-type-specific renewal instructions, licensee name, license type, license number, fee, expiration date, and any special requirements must be included in the notice.  The system must be able to track and generate notices of annual fees due for operating/non-expiring child care licenses, which have due dates based on the anniversary of license issuance.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to generate renewal notices and fee notices prior to expiration. We will configure different dynamically populated correspondences for different renewal types. A scheduled job will identify renewals that are approaching expiration within a specified period of days and generate the correspondence.</p>					
RLA-4	<p>Describe how the system will also generate renewal notices on demand. The system must calculate the number of days between the license issuance date and the expiration date, and automatically produce renewal notices that fall within predefined time frames for specific license types.</p> <p>For example, Joe Smith's physical therapist license application was approved on 09/01/21, after renewal notices were sent but before the expiration date of 11/01/21. A renewal notice must be generated and sent to him.</p>	X	X		
<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to allow all renewal notice correspondences to be run directly from the record. DHHS staff will have the ability to generate and send the correspondences directly from the record. In addition, we will configure these to execute on a scheduled job. The scheduled job will identify records within a specified period of the expiration and flag them to receive the correspondence.</p>					
RLA-5	<p>Describe how the system will provide an online renewal system with an intuitive interface that allows licensees to establish personal online accounts, generate personalized renewal documents, submit renewal forms and other documentation, pay fees online and offline, and allow licensees to print renewal documentation. Renewal documentation includes but is not limited to wallet card(s) and certification(s) that have the licensee name, license type, license number, license status, disciplinary and/or limitation status if applicable, updated license expiration date, and any other information required for the license type. The system must maintain an electronic record of all renewals, payments, and status changes.</p>	X	X		
<p>Response: GL Solutions will meet this requirement. We will specify and configure the self-service website to provide online renewal functionality. Users will be able to securely log into their account and manage their license renewals by submitting the required documentation and fees. The self-service website will also facilitate the generation of personalized renewal documents and the printing of renewal documentation. Wallet cards and certifications will be dynamically generated and presented for printing.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
RLA-6	<p>When licensees log into their personal online accounts, describe how the system will provide a list that includes all of a licensee's current licenses and expiration dates, including multiple branches/locations for establishments, and indicate which licenses are eligible for renewal at that time. Personalized renewal documents should be generated for online completion of each license renewal form. The system must require that primary licenses be renewed before dependent licenses.</p> <p>A licensee must be able to securely log into a personal online account, select the license(s) to be renewed, complete the personalized online renewal application(s), attach any required documentation, and pay fee(s) online. The system must also give an option for licensees to complete and print the personalized renewal form(s) for submittal by mail or in person.</p> <p>Depending on the information provided online, the system must accommodate \$0 fees and military waivers of fees when appropriate. Multiple renewal fees should show in a shopping cart-type list to be paid in one transaction. The licensee must receive an automatic, system-generated email with a receipt and confirmation that the renewal(s) and fee(s) have been submitted.</p> <p>Describe how the system will determine whether all renewal requirements have been met, or if manual renewal is required. If staff review is required, the system must suspend the payment and put the renewal in a license-type-specific work queue for staff to manually approve. If all renewal requirements have been met, the system must automatically approve the renewal(s) and document the payment(s) on the licensee record without staff intervention.</p>	X	X		
<p><b>Response:</b>            GL Solutions will meet this requirement. When a user logs into the self-service website, they will be presented with their dashboard, which is the central point of any activity performed on the website. The dashboard will display a list of active licenses, pending applications, unfulfilled requirements for any activity, and any pending fees. The list of active licenses will contain a dynamic link that will be displayed when the license is eligible for renewal. Clicking the link will initiate the renewal process and start the licensee on the renewal workflow. Links will also be available for any eligible applications the user can apply for, which will be displayed dynamically according to the eligibility of the licensee.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
RLA-7	<p>Describe how the system will allow licensees to delegate authority for license renewals, and to change the delegation at any time.</p> <p>For example, physical therapists delegate renewal authority to their employing practice to submit renewals and pay fees on their behalf. Practice staff must be able to submit multiple renewals and payments for the specific licensees who have delegated that authority. A list of employees who have delegated renewal authority should be displayed on the practice's online account, for selection of the licenses to be renewed. Multiple payments should show in a shopping cart-type list to be paid in one transaction. Receipt(s) must be automatically generated and sent to the practice email account. Practice staff must be able to generate renewal wallet cards and/or certifications for all of its physical therapists at once. The system must process the renewals and document each payment on individual physical therapy licensee records.</p> <p>A corporation has several nursing homes. Each nursing home delegates authority to the corporation to renew its license. The corporation can then renew all licenses at once, on one transaction.</p>	X	X		
<p><b>Response:</b>            GL Solutions will meet this requirement. We will specify and configure GL Suite to facilitate the delegation of renewal authority. We will configure GL Suite with an association to permit the delegation of activities. The web page will be designed to show users who have had tasks delegated to them with the ability to execute those tasks so long as the association exists. GL Suite will provide users with the ability to manage their delegated associations through the self-service website at any time.</p>					
RLA-8	<p>Describe how the system will track continuing education classes and hours as a prerequisite for renewal. License types allow attestation that the requirement was met, and require a random audit list of licensees to be generated after the renewal deadline. Others require licensees to submit continuing education certificates, which must be attached to the licensee record. Drop-down lists of approved schools and classes must be incorporated for data entry. Most individual professions have a continuing education general audit process for multiple license types. The majority of individual license types do not track CE hours. Currently, up to five (5) license types enter CE hours. See Attachment One, Type and Number of Licensees.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Suite will allow the DHHS to support the management, review, certification and maintenance of member continuing education requirements. The process will categorize and calculate the hours based on the DHHS’s specific policies (including submission and approval requirements). GL Suite can utilize business rules that restrict an applicant from completing their application or renewal until they have met the specific requirements of the DHHS’ continuing education program.</p> <p>Records can be automatically (or manually, if desired) assigned to an individual or staff type for follow-up. Support of the DHHS’ continuing education process will include utilization of third-party interfaces or websites to allow the DHHS a variety of options for collecting the relevant information. GL Suite can also efficiently manage relationships between the hours entered and the Courses themselves, allowing flexibility in tracking the information you deem most important. Schools can be licensed or listed as schools that provide continuing education within the system, allowing then management of courses and rosters to facilitate the sign up of continuing education courses.</p> <p>GL Suite can automatically generate formal letters to inform the applicant of their DHHS’ continuing education program requirements status (how many hours remaining in certain categories, the date(s) hours must be completed by, etc.) and update their application or renewal status accordingly.</p>				
RLA-9	<p>Describe how the system will allow the licensee to immediately generate and print renewal documentation from their secure online account, including wallet card(s) and certification(s), after a single or multiple license renewal has been approved either automatically or manually. Renewal license documents must include the licensee name, license type, license number, license status, disciplinary and/or limitation status if applicable, updated license expiration date, and any other information required for the license type.</p> <p>For example, Beth’s multiple license authorizations (mental health practitioner expires 9/1/2020, her certificate as a professional counselor expires 9/1/2020, and her certificate as a marriage and family therapist expires 9/1/2020) need to be renewed. The system must process the renewals according to a decision tree and primary/secondary license logic; by allowing Beth to pay all 3 or only 1 or 2 of the 3 renewal fees in one transaction. The system must recognize that the certificates (secondary) cannot be renewed if the mental health license (primary license) is not renewed; and allow Beth to generate and print renewal documentation immediately after the transaction is completed.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions will meet this requirement. Upon the payment for or completion of a renewal process, GL Suite will automatically generate the certificate or wallet card within the software system. The user will have the ability to view the certification from their dashboard and will be presented the certification upon the completion of the process. This will allow the user to print the certification as needed.</p> <p>GL Solutions will specify and configure validation rules for the licensing and renewal processes that will prevent the issuance of a license/renewal if any primary licenses are not in a status of Approved.</p>					
RLA-10	<p>The online renewal system must allow individual licensees to securely request that their licenses be placed on inactive status, to select the effective date, and to pay a fee, if required by license-type-specific regulations. Describe how the system will automatically change the license status to inactive on the date specified by the licensee.</p>	X	X		
<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to provide an online workflow for users to securely log in and request their license is inactivated on a specified date. We will configure the process to include verification of the date as well as the collection of the required fee. Successfully completing this workflow will place a flag on the license which will indicate the date the inactivation should occur. We will configure a scheduled job that will execute on a nightly basis to identify records with this flag where the effective date matches the current date, and automatically update the status of the license to Inactive.</p>					
RLA-11	<p>Describe how the system will allow licensees to securely complete and submit reinstatement requests online after expiration, and pay all required renewal, reinstatement, and late fees. Reinstatement requests should be placed in the license-type-specific staff work queue. The system must track the history of license expirations and reinstatements, and allow licensees to generate and print reinstatement license documents, including wallet card(s), from their secure online account. Reinstatement license documents must include the license type, licensee name, license number, license status, disciplinary status if applicable, the new expiration date for each license, and any other information and workflow required for each license type.</p> <p>Most individual profession license types and establishment license types have a reinstatement process for multiple license types. Reinstatement has three basic processes, after expiration, after inactive and after discipline. Each follows the same general process for the type of reinstatement, but there are unique requirements depending on the license type.</p> <p>See Attachment One, Type and Number of Licensees.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:            GL Solutions will meet this requirement. We will specify and configure GL Suite to provide a process for licensees to request reinstatement of their license. The process will allow users to submit any required documentation as well as pay any fees. Completing the process will place the reinstatement request in a work queue specific to license type to assign the request for staff review.</p>				





RLA-12	Describe how the system will track annual fee due dates and license expiration dates, invalidate licenses, send notices to staff work queues, and generate expiration notices/correspondence for licensees who have not met renewal requirements by the expiration date, at a point in time specified for the license type. The system must allow processing of renewals and fees after the expiration date, due to mail delivery allowances and staff processing time.	x	x		
<p>Response:</p> <p>GL Suite will track annual fee due dates and license expiration dates, invalidate licenses, send notices to staff work queues, and generate expiration notices/correspondence for licensees who have not met renewal requirements by the expiration date, at a point in time specified for the license type.</p> <p>GL Suite tracks and displays license and registration history and status changes in a straightforward, clear manner.</p>					



## Accounting and Fees Requirements

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ACT-1	<p>Describe how the system will have an informative, intuitive data entry process for payments which generates a unique receipt number for each payment; ensures that all required payment information is entered; payments are applied to the correct licensee record; and payments are allocated to the correct fee(s). The list of fees to be paid must include the date assessed/due and a fee description. A responsive system that generates additional fields based on the entries made would be ideal – for example, when “Check” is selected for Payment Type, a required data entry box appears for Check Number, but when “Credit Card” is selected, a required Transaction Record box appears instead. The system must interact with external systems, such as SharePoint and OnBase, to document and process transactions.</p> <p>OnBase is currently used by DHHS for document storage, but does not interface with L2K.</p> <p>SharePoint is currently used as a workflow management tool, using information extracted from L2K that partially auto-populates a refund form that is then uploaded to SharePoint after additional manual entry.</p> <p>DHHS does not have interface specifications for OnBase or SharePoint.</p>	X	X		
<p>Response:</p> <p>GL Solutions has integrated a Quick Pay feature into GL Suite to allow payment processing directly from the system. With Quick Pay, agency staff can enter payment information for numerous licenses, events, exams, and more, all from one screen. Staff can also search for multiple licenses and apply payments, all from one screen. GL Suite supports any payment type and will accommodate partial or split payments.</p> <p>GL Suite facilitates dynamic fields depending on the payment type. For example, if selecting Check as the payment type, the fields will automatically adjust to collect data appropriate for a check. GL Suite automatically links completed online payments to the related invoice and maintains a clear payment history directly on the member’s record.</p>					
ACT-2	<p>Describe how the system will maintain a comprehensive fee/payment/refund history, and show a history of multiple transactions on one screen, including all changes made to financial records and who made the changes. The system must show an overall licensee account balance which clearly indicates if it is positive, negative, or zero. A single screen should have the capacity to show a minimum of 15 transactions at a time, with capability to scroll through additional transactions in the record. Describe how your system archives and/or deletes data according to records retention schedules.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p><b>Response:</b>            GL Suite creates invoices for all monetary events that happen within your database. It automatically generates an invoice as part of the application or renewal process. It automatically links every payment with the member, employer, license, etc. to which it is related. Regardless of the level at which a payment is recorded, it will be directly connected to related records. The invoice creates a clear link between the fee and the payment.</p> <p>Invoices are highly configurable and can be used to track any additional information your agency desires (e.g. account codes, batch numbers). We have numerous clients that utilize unique validation numbers for each payment or batch of payments. Others use source codes to track revenue by departments or license types. We can also incorporate payment-problem report codes and use them to generate custom reports.</p>					
ACT-3	Describe how the system will provide detailed information regarding each payment, such as business unit, subsidiary, object code, date received, date entered, payer, payment amount, payment type, check/transaction number, fee description, fee amount, payment balance, refund, etc., and show all information regarding a payment on a single screen. Business units and subsidiaries must be linked to license types, object codes must be linked to transaction types, and all 3 must automatically populate the record according to the transaction and license type.	X	X		
<p><b>Response:</b>            GL Solutions will meet this requirement. We will specify and configure GL Suite to provide detailed information regarding each payment. Each invoice will be configured with labels to associate the invoice to the reason for the fee. For example, an application fee invoice would be labeled an Application Fee. In addition, we will configure invoices to contain account codes to facilitate the distribution of funds to the correct accounts. Payments will group together invoices paid for together and associate the payment across all invoices. Business rules will capture information such as the payment type (check, cash, refund, etc.), the amount paid, the date received and entered, etc.</p>					
ACT-4	Describe how the system will be able to generate reports by all payment data fields, including business unit, payment amount, receipt number, transaction record, fees paid, licensee account balance (all outstanding fees and payments), and refunds.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response: GL Suite meets this requirement. The core of the software system provides elaborate and robust analytical reporting capabilities, providing the DHHS with an extensive set of tools to get the most out of their system. GL Suite will retrieve data on demand in any number of desired formats (including Microsoft Word, Excel, PDF and more). GL Suite’s accurate, dynamic sorting and filtering mechanism allows staff to track, monitor, and analyze data based on any desired criteria. All GL Suite reports and queries are supported by the software’s sophisticated role-based security system, which determines exactly which users/roles/groups are allowed access to analytical reports.</p> <p>GL Suite enables DHHS staff with appropriate permissions to run all needed predefined reports and queries, enabling authorized staff to track, monitor and analyze any data stored in the system. GL Suite provides accurate, real-time reporting. Information is always up-to-date, accurate, and consistent. With GL Suite, you can trust your reports to be accurate, reliable, and reflective of the most current system information. During implementation, GL Solutions reviews your reporting needs and matches those needs with our experience and expertise to specify and develop reports tailored for you. Predefined reports and queries dynamically display the latest applicable data.</p>				
ACT-5	Describe how the system will maintain and provide adequate documentation for issuance of refunds, including generating notices to licensees and creating refund forms that include all needed information, such as business unit, licensee name and address, profession, license type, license number, payer name and address, payer SSN/TIN/FIN, payer Address Book Number; payer mailing address; receipt date, receipt number, total receipt amount, payment type, description of fees paid (including administration fees), fee amounts paid, fee status, amount to be refunded, business unit/subsidiary/object code, reason for refund, refund status, notes/remarks, etc. (The State does not park payments).	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b> GL Solutions will meet this requirement by maintaining and providing adequate documentation for issuance of refunds, including generating notices, as well as creating refund forms.</p> <p><i>Generating notices:</i> GL Suite generates notices to licensees about refunds. GL Solutions will configure GL Suite to generate notices for refunds; GL Solutions will configure business rules to automatically generate the notices. GL Suite can be tailored to send automatic email notices to licensees, including notifying licensees about refunds. Users manually generate email notifications one at a time or generate them in an automated batch job. GL Suite can also be configured to send ad-hoc emails. The system will allow for a group of recipients to be selected, the body of the email entered, and the emails will be sent automatically.</p> <p><i>Creating refund forms:</i> GL Solutions will configure a screen that collects relevant data for the refund; the data would then be routed to the appropriate staff for processing and approval.</p>				
ACT-6	<p>Describe how the system will document returned checks, including the reason the check was returned, steps taken to locate the licensee, and final disposition of the check.</p> <p>Example: a refund was mailed to an applicant, but the post office returned it marked undeliverable.</p>	X	X		
	<p><b>Response:</b> As a component of payment processing, payments in GL Suite are addressed with payment objects. GL Suite uses objects for payments, refunds, and adjustments. Payments can also be flagged as NSF when a check is returned, which will reverse the applied payment. We can configure business rules which will automatically generate notifications when a check is returned.</p>				



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ACT-7	Describe how the system will track insufficient funds (NSF) checks, invalidate all fees paid by an NSF check, identify and invalidate all related licenses, send a notice to the work queue of the staff assigned to the license type(s) involved, and document all related account changes and correspondence.	X	X		
<p>Response:            GL Solutions will meet this requirement. We will specify and configure GL Suite to track insufficient funds checks. We will create a flag for payments for when a check is returned. When a check is entered as NSF, GL Suite will automatically reverse the payment.</p>					
ACT-8	Describe how the system will support financial interagency transfers.	X	X		
<p>Response:            GL Solutions generally facilitates financial interagency transfers through the use of account codes on invoices. Using account codes, GL Suite is able to track revenue collected within GL Suite across the accounts they apply to. We will configure a process for facilitating financial interagency transfers, including the transfer amount, the agency the amount is being transferred to, and any additional payment information that will be required for the transfer. We will also configure reports to detail the interagency transfers that occur within any specified day.</p>					



**License Certification/Verification Requirements**

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
LCV-1	<p>Describe how the system will generate and track issuance of duplicate or reissued wall licenses, wallet cards, certifications, and other documents with all required images and data fields, in electronic and written form. Documentation may be system-generated online or manually prepared by staff. Images include signatures, logos, seals, etc. Examples of data fields include licensee name, license number, license type, location, facility certification/licensure status, issuance date, expiration date, license status, basis for license issuance (such as examination, waiver, or reciprocity), education, test scores, disciplinary history, limitations, compact information, ages/population served, hours/days of operation, etc.</p> <p>Fees may or may not be required, and amounts vary, depending on the amount of staff time required to produce the requested documentation.</p> <p>Every individual profession has a reciprocity/endorsement process for multiple license types. Reciprocity processes follow the same general process, but there are unique requirements depending on the license type.</p> <p>See Attachment One, Type and number of licenses.</p> <p>Bulk uploads of names, SSNs, license numbers, etc. should be allowed, as well as a subscription service to track license record and status changes for specific licensees.</p> <p>Examples:</p> <ol style="list-style-type: none"> <li>1. An insurance company requests a staff-issued verification of a nursing home’s license status, CMS certification status, and disciplinary history.</li> <li>2. An employer searches an online database to verify each employee’s nursing license status and disciplinary history, and prints a system-generated certification or wallet card of each license for her records. Print options should include one-at-a-time and bulk search/print options.</li> <li>3. Another state’s licensing agency requests staff-issued certifications for 50 physician licenses to verify license status, including disciplinary history, prior to issuing a reciprocal license. This request may be for the primary license only, secondary license linked to a current primary license, or primary license and all secondary licenses linked to the primary license.</li> </ol>	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions tracks the generation of wall licenses, wallet cards, certifications, and other documents by using a Mark as Printed object. When a document is available for generation, a Marked as Printed object is created on the record. Our scheduled jobs and business rule commands for generating documents looks for a Marked as Printed object with the Date Printed field unfilled. When the business rules identify records to generate documents for, the rules automatically populate the Date Printed field with the current date. This facilitates the tracking of original or duplicate document generation, including the date the documents were generated. These business rules will be configured to be run individually or as a batch.</p>					
LCV-2	Describe how the system will provide an online account system that allows licensees to securely generate and print their own licensure documentation, including wallet cards, duplicate/reissued licenses, and certifications.	X	X		
<p>Response: GL Solutions will meet this requirement. We will specify and configure the self-service website to allow licensees to securely generate and print their own licensure documentation. We will configure the self-service website to allow licensees to view all active licenses on their main dashboard menu. When viewing an active license, the licensee will have the ability to view a printer-friendly version of the licensure document. The document will be provided in PDF format.</p>					
LCV-3	The online account system must also allow licensees to request staff-generated license documentation, indicate where the documentation should be sent, whether it is for compact use, pay the fee, and receive a receipt. The system must track request status, such as pending, completed, and sent, so that the licensee can check its status online.	X	X		
<p>Response: GL Solutions will meet this requirement. We will specify and configure the self-service website to allow users to request staff-generated licensure documentation. When viewing active licenses, we will provide a link to request the documentation. The link will take the user through a series of pages to confirm the address the documentation should be sent to, as well as pay any required fees. Upon completing the request, the request will be placed in a staff work queue. The request will contain a status that will be automatically updated when staff review and complete the request, which will be reflected on the self-service website dashboard.</p>					
LCV-4	Describe how the system will display licensee data, with licensee-related public documents, in the public database, including disciplinary actions and limitations, inspection results, and ownership documentation, and allow the general public to generate and print license certifications.	X	X		





Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions will meet this requirement. The general public will be able to use a verification website to look up and view information online to verify licensee information the DHHS wishes to share from the GL Suite system. Based on the determination of the agency, only data and/or documentation specified to be “public” will be shown on this verification system. The verification website can display any element of data specified to be shared with the public. The website will allow the public access to real-time information about license status and enables the public to search for records based on status, location, license duration, etc. GL Suite’s security ensures that all public information is available online, but all non-public data will only be available to DHHS staff with appropriate security permissions.</p>					
LCV-5	Describe how the system will maintain an electronic record of all online and in-office transactions and payments, including communication with the licensee/jurisdiction/public, the purpose of the transaction, whether it was for compact use, where documentation was sent, and the staff person processing the transaction, if needed.	X	X		
<p>Response: GL Suite maintains an electronic record of all online and in-office transactions and payments, including communication with the licensee/jurisdiction/public, the purpose of the transaction and more.</p> <p>GL Suite also offers a configurable system to allow for the capture and recording of any information needed by an agency. In addition, GL Suite configures invoices to provide a specific label related to the purpose of the invoice, like Application Fee.</p>					



## Complaint and Investigation Requirements

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
COM-1	<p>Describe how the system will document complaints and investigations from initiation to completion, while keeping the information confidential. The system needs to track complaints; link them to the licensee file; link them to the investigation record; log any and all communication sent/received related to the complainant, licensee, or other people involved; link photos and video to the complaint/investigation record; and maintain confidential investigation and hearing documentation.</p> <p>There are approximately three hundred fifty (350) forms for inspections such as initial, re-inspection, focused, routine, etc. Complaints can be gathered in a number of ways, such as online, in person, by letter, by email, and by phone call.</p> <p>DHHS tracks compliance-related activities as follows:</p> <ol style="list-style-type: none"> <li>1. For individuals and/or businesses subject to the Uniform Credentialing Act, License 2000 is used.</li> <li>2. For child care licensing, License 2000 is used and each of the three (3) Child Care Licensing Supervisors use a separate Excel spreadsheet.</li> <li>3. For residential child caring/placing agencies, two (2) Excel spreadsheets are used.</li> <li>4. For community-based services, seven (7) Excel spreadsheets and Outlook calendars are used.</li> <li>5. For health care facilities and services subject to the Health Care Facilities Act, ACO, Excel spreadsheets, and/or paper forms are used.</li> </ol> <p>DHHS wants to improve its efficiencies in this area. DHHS may be willing to adapt its compliance tracking to align with the solution proposed by the bidder.</p> <p>DHHS tracks investigations as follows:</p> <ol style="list-style-type: none"> <li>1. For individuals and/or businesses subject to the Uniform Credentialing Act, an Access database is used.</li> <li>2. For child care licensing, License 2000 is used;</li> <li>3. For residential child caring/placing agencies, an Excel spreadsheet is used;</li> <li>4. For community-based services, SharePoint is used;</li> <li>5. For health care facilities and services subject to the Health Care Facilities Act, ACO, Excel spreadsheets, and/or paper forms are used.</li> </ol>	X	X		



**Response:**

Complaints, compliance, and case management are fully integrated capabilities of the GL Suite software application. GL Suite can create, maintain, and track all events related to complaints and their associated cases. It allows users to enter cases, record penalties at the conclusion of an investigation, and track all complaint, investigation, hearing, and compliance actions pertaining to a license. It also automates case handling among staff members by establishing automated rules and notifications.

GL Suite can be configured to execute the following actions:

- Generate letters and notifications to complainant, registrant, and other persons associated with an enforcement action (e.g. investigation officers or lawyers)
- Send batches of correspondence to notify complainants of complaint status
- Record disciplinary orders issued as a result of an enforcement action (e.g. administrative fines and penalties)
- Produce and store notices, subpoenas, investigation materials and other documents with relevant records
- Generate complaint and case numbers according to configured business rules

We designed GL Suite's complaint and case management features to leverage the efficiencies of the relational database:

- A read-only complaint number is automatically assigned to new complaints, ensuring that every complaint is unique in the system
- A wide variety of information can be tracked with a complaint, including but not limited to status, priority, allegation-type, staff assigned, relevant dates, comments
- Individual, company, employer, complaint, and case record are stored as separate entities in the system, enabling fully-flexible associations between them
- Complaint records can have a bi-directional association to the records of any number of individuals or organizations to identify the respondents, complainants, attorneys involved, etc.
- Data is stored in only one location for each individual, ensuring that users and generated reports access the correct information (e.g. names, addresses, phone numbers)
- The system can be tailored to track all previous information related to an individual (e.g. previous name, previous address)
- Over time, an individual or business might be associated to multiple complaints and cases as a respondent, a complainant, or both. Each association can have a status, such as *Open*, *Closed*, and *Pending*

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<ul style="list-style-type: none"> <li>The applicable complaints are visible and accessible from the associated individual or business record, for any users who have security rights to view them</li> </ul>				
COM-2	<p>Describe how the system will allow the public to submit complaints online. Complaints should be routed to the appropriate staff's work queue, and template letter/email options must be available for communication with licensees and complainants. The system must document all communication regarding the complaint, and allow workflow between staff as defined by role.</p> <p>For complaints not submitted online, describe how staff will be able to enter complaints into the system.</p> <p>For example, DHHS staff receive a complaint, enter it into the system, and must be able to forward it and all related documentation to an investigator.</p> <p>Depending on the broad license category, the method of complaint reporting used, and the findings during the investigation, there are a variety of process flows that may be followed. License categories would include individuals, businesses, health care facilities and services, child care, and community-based services.</p>	X	X		
	<p>Response:</p> <p>GL Solutions can provide an online complaint submission system ranging from a form which emails complaint data to one of your staff members, to a full online interface where the outside user looks up a licensee and submits a complaint against that licensee. In most interfaces, rather than desiring the outside user to add data to the database in an unmonitored way, our clients desire to have a staff member review the incoming complaint to determine whether it is legitimate data to be added to the GL Suite database. At the point that the complaint data is approved, the interface would conclude with automatically adding the data for further tracking of the formalized complaint.</p>				
COM-3	<p>Describe how the system will allow role-based security access to complaint/investigation information to ensure that only staff with the appropriate levels of security be allowed to access, view, and mark data/documentation as public. All of the confidential information and documentation regarding the complaint and investigation must be tracked and linked to each other and the licensee.</p> <p>The information marked as public must be available online to all staff and the general public, and must be updated in real time.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Suite provides any level of granularity in system security. Clients or GL Solutions can configure a User Group for each staff role and set up unique and flexible security for each. The client decides which groups create, view, edit, and/or delete everything, including each screen, field, case type, calendar view, business rule, document, report, and much more.</p> <p>GL Suite provides security at all levels within the system by incorporating leading-edge technology that ensures the security and privacy of data. With a new GL Suite system, user authentication options include LDAP, SQL Server Database, and ADS. Clients choose the authentication method that best suits their network environment. GL Suite provides the ability to add users and maintain user-level permissions, as well as create groups and maintain group-level permissions. Clients can also define different permissions for every screen and field, deciding what permissions override others.</p> <p>Roles can be configured to represent organizational sections or specific responsibilities in your agency. Common user roles include licensing managers, licensing employees, cash processors, cash manager, claims staff, etc. The number of roles that can be created in GL Suite is unlimited. A particular employee can be assigned to one or more roles, and s/he will be granted permissions for all the roles to which s/he belongs.</p> <p>GL Suite system security is so granular that security can be set differently for every component on a page. For example, clients can set different security to access or change each license type that is managed and assign rights permitting different people to configure different components of the system. GL Suite allows clients to set permissions on reports, correspondence, queries, batch functions, and literally every other functionality of the system, including business rules. For example, permissions can be set to restrict users from altering a registration's status if registration requirements have not been fulfilled. Exceptions can be handled in such a way that such rules apply only to specific users or roles but not managers.</p>				
COM-4	Describe how the system will track names, contact information, statements, communication, correspondence, and other information for all people involved in a complaint or investigation. The system should provide a pop-up alert if a person has changed his/her contact information during an investigation or pending disciplinary action, and notify identified staff such as investigators, hearing officers, etc.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:            GL Solutions will meet this requirement. We will specify and configure GL Suite to provide associations for complaints and investigations. Typical associations for enforcement activities include respondent, complainant, and witness. The associations will facilitate the tracking of contact information, statements, communication, names, correspondence, etc.</p>					

### Disciplinary Action Requirements

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
DIS-1	<p>Describe how the system will document and display disciplinary actions and limitations imposed on a licensee, the date range of the discipline/limitation, the type/category of discipline taken, the findings of fact, monitoring requirements, and all related documentation. The system must track assessment of administrative penalty fees, payment plans, payment amounts, and information for each payment made per fee, with the unpaid balance of each fee. A licensee may have numerous overlapping disciplinary actions, monitoring requirements, and penalty fees that must be tracked. Staff must be able to mark all data fields and documentation as either public or confidential. Board and disciplinary actions marked public must be updated to the online database in real time.</p> <p>For example, a disciplinary action requires an administrative penalty fee, and body fluid testing each month for two years, resulting in an additional monthly charge of \$85. A complete history must be documented for each fee assessed and each payment made on each fee, and a total of all unpaid disciplinary-related fees must be provided on each licensee record.</p>	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Suite will document and display disciplinary actions and limitations imposed on a licensee; With configuration, GL Suite records disciplinary orders and limitations issued because of an enforcement action. GL Solutions works with the agency to make sure GL Suite captures the required information. GL Suite will record disciplinary orders issued as a result of an enforcement action, for example administrative fines and penalties. The system will track the disciplinary actions, monitoring requirements and penalty fees.</p> <p>GL Suite meets the requirement by allowing role-based security access; GL Suite allows users with appropriate security rights to view and access applicable complaints from the associated individual or business record. GL Suite provides any level of granularity in system security. Either your agency or GL Solutions can configure a User Group for each staff role, and set up unique and flexible security for each.</p> <p>GL Suite meets the requirement to enable staff to: be able to mark all data fields and documentation as either public or confidential. Board and disciplinary actions marked public should be updated to the online database in real time. GL Suite’s security ensures that all public information is available online, but all non-public data will only be available to agency staff with appropriate security permissions.</p> <p>GL Suite tracks and links all of the confidential information and documentation to each other and the licensee; GL Suite stores all complaint and investigation data within a case and associate that to the relevant licensee records.</p>				
DIS-2	<p>Describe how the system will also track disciplinary actions taken against Nebraska licensees in other jurisdictions. The system must be able to import and export disciplinary action data as needed for compact agreement compliance.</p> <p>For example, an automated daily import and export are required to exchange disciplinary information with NURSYS, with alerts to appropriate staff if the import or export fails. Imports must automatically update the licensee record and issue alerts to appropriate staff.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:</p> <p>GL Suite meets the requirement by providing the ability to: track disciplinary actions taken against Nebraska licensees in other jurisdictions. GL Suite will be able to import and export disciplinary action data as needed for compact agreement compliance.</p> <p>GL Solutions regularly creates custom interfaces, which allow for all manner of data exchange between our clients and third parties. GL Suite will interface with any system that has an API.</p>					
DIS-3	<p>Describe how the system will track citations issued for an establishment on its employees' license records, and on the physical location record.</p> <p>For example, Mary Johnson is a licensed nursing home administrator for Shady Rest Nursing Home. If a citation is issued against Shady Rest Nursing Home, the citation should also appear on Mary Johnson's nursing home administrator license record. The citation should also be linked to the physical location of the establishment, so that all citations for that physical location can be documented and tracked regardless of past or current establishment name or ownership.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Suite meets the requirement to track citations issued for an establishment on its employees’ license records and on the physical location record. GL Suite allows you to link related entities using association screens, which track and display the appropriate relationships, whether those relationships are one-to-one or one-to-many. Association screens are click-through, providing agency staff with an intuitive visual representation of the relationships, as well as the ability to have multiple records open at any given time.</p> <p>In GL Suite, associations allow unlimited links from one record to another. Addresses offer a good example of how associations work. An entity such as an individual, business, or facility often has multiple types of addresses - mailing, home, physical, etc. - that all need to be associated with the entity across license types. GL Suite not only easily tracks these but also tracks both old and current addresses.</p> <p>GL Suite retains all historical data within the record, so any licenses, documentation, and disciplinary actions remain associated to the record unless otherwise specified. GL Suite includes a sub-form on every record, which contains basic data at a quick glance. This can be configured to show any data, including all currently active licenses.</p> <p>GL Suite maintains historical information for name changes, address changes, status changes, and much more. Once individuals (and other entities such as businesses, groups, etc.) are entered into the system, all of their information—from the very first day of their association with your agency to the very end—is located in one place. GL Suite also allows for multiple current addresses such as physical, mailing, practice, etc... GL Suite also tracks and displays license and registration history and status changes in a straightforward, clear manner.</p> <p>Not only does GL Suite track all information and supporting records related to an entity, but it also tracks the associations between entities. For example, entities and licensing agencies are tracked separately, but GL Suite also allows you to track bi-directionally what entities are regulated by what agencies. It will also track the history of these relationships and will enable you to see every other entity that an individual has interacted with and/or all entity that have ever been regulated by or even fined by a specific agency.</p>				

**Inspections and Mobile Functionality Requirements**

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
MOB-1	<p>Describe how the system will have comprehensive functionality for inspections, both in the office and in the field. Staff must be able to enter data, complete checklists, cite the specific statutes/regulations violated, input specifics regarding violations in public and confidential fields, incorporate documentation and photos, and create inspection reports online and offline. If online, the database must be updated in real time. If offline, the mobile system must synch with the database when connectivity becomes available.</p> <p>For example, a child care inspection reveals that a child was injured by falling off a diaper-changing station that did not meet safety requirements. Staff must note the violation on a checklist, cite the regulation violated, enter the public information of how the child was injured, and enter confidential information with the child's name, medical treatment, and photos of the injuries. Data entered must populate an inspection report for internal use that includes the confidential information and documentation, a summary report, and an in-depth inspection report that includes citations and public information. The summary and public information reports must be posted to the website when indicated by staff.</p>	X	X		



**Response:**

GL Solutions provides a mobile inspection application designed for in field investigations and inspections. The application is complete with configuration, security, and data required for your inspectors. When the device is damaged or needs to be upgraded, GL Solutions will ship a new Mobile Inspection package to the investigator – next-day delivery – preconfigured so the inspector can get back to work.

This premium, all-inclusive inspection solution solves the problems found in most inspection processes and systems:

- No incomplete or illegible paper forms
- No complex setup procedures for your IT staff
- No wondering about inspector productivity or data security
- No worries about equipment damage, loss, or issues
- No new wireless plans, software licenses, or systems to manage

**Effective, Successful Inspections**

Inspection forms are easy to use. Using the iPad Mini, the user finds a familiar, touch-screen form interface. The inspection form supports an intuitive questionnaire format with required fields, default values, and advanced data validation all guide the inspector to collect critical information. Inspection scores can be tallied on the fly, along with other real-time calculations. The inspection forms ask for only (and for all) the appropriate data. If a violation is found, the inspector can be prompted for the code violation or to take a picture of the violation. Signatures can be required or collected and stored with the inspection.

**Efficient Inspection**

- Each of your inspection forms is converted into a touch-friendly form
- Take photos during the inspection of violations which are attached to the form and stored in GL Suite
- Collect signatures out in the field
- Form data is saved on device in offline mode, to be automatically and securely transmitted and loaded into the back-office GL Suite application and database when connectivity is restored
- Inspections may be performed whether or not LTE or wireless service is available
- Integrated mapping helps inspectors get to the inspection location in the most efficient route



### **Streamlined Results**

- Send the licensee an inspection report via email with the completed form in PDF format, including pictures, signatures, and all inspection results
- Inspection assignment results flow seamlessly between the agency office and the devices with no inspector effort or manual synchronization

### **Inspection Automation**

- Stores a copy of every inspection form in GL Suite where rules can be set up to trigger follow-up notices, re-inspections, urgent investigative activity, etc.
- Devices are constantly refreshed with updates
- Inspection form templates are deployed automatically to devices

### **Peace of Mind**

Managing an inspection process that occurs throughout the state can be a challenge, so we include end-to-end, lifecycle inspection management. The devices are secured, encrypted and remotely wiped in the event one is lost. You can see, track and monitor the status of every inspector real-time, including recording the geo-codes for the location every inspection performed. When an urgent violation is reported, the main agency office can push out a notice to the appropriate inspector to conduct an inspection immediately!

### **Dispatch Functionality**

GL Solutions' Dispatch feature is the pre-scheduling component of our mobile inspections solution. This feature sends customized inspection forms directly to a device based on a pre-determined schedule, providing agencies with an additional element to maximize the efficiency and effectiveness of planning, scheduling and performing inspections in the field. Dispatch enables agencies to ensure their field inspectors have the information they need on their mobile device to perform the required inspections on time. In addition, GL Suite's reporting capabilities allow agencies to monitor which inspections were dispatched to each inspector on particular days or weeks, providing an accurate and up-to-date summary of the scheduled inspections that have been performed. Dispatch provides your agency with increased scheduling flexibility:

- Pre-schedule inspections by last-inspection date, location, prior-inspection results
- Inspector devices receive inspection directions pushed out to their device from the home office
- Supports both pre-scheduled and ad-hoc, unscheduled inspections

### **Print In the Field**



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Sometimes there is a need to print directly from the forms, while you're in the field. Our mobile inspection solution now supports printing directly from the device to compatible Bluetooth printing devices. Forms can be printed retaining all information entered onto the form, including signatures and photos. Only specific printers are supported. Hardware requirements should be discussed with GL Solutions if this is a desired feature.</p> <p><b>Personnel Management</b></p> <p>Many agencies with field inspectors struggle with managing inspector productivity. In fact, there have been several high-profile incidents, related in the media, where inspectors filled out inspection forms from home without ever conducting an inspection.</p> <p>Provides:</p> <ul style="list-style-type: none"> <li>○ Dispatch inspection orders (push to mobile device)</li> <li>○ GPS tracking of Inspectors</li> </ul> <p>This system is targeted towards remote/mobile users who need to fill out forms and upload data to the GL Suite back-office system. These users are typically inspectors, but the solution may also be applied for investigations, interviews, and other remote activities.</p> <p>While the GL Suite back-office software supports and stores inspection data and forms with all your other data and business processes, the GL Suite mobile inspection system simply provides the all-inclusive, integrated technologies, services, and support needed to maximize your inspectors' efficiency and effectiveness in the field.</p>				
MOB-2	Describe how the system will track and support the entire inspection process: scheduling an inspection; planning an efficient schedule/route; navigating to the establishment; completing the onsite inspection checklist; citing applicable statutes/regulations; populating and generating appropriate inspection reports via templates; obtaining required digital/electronic dated signatures; scheduling follow-up inspections; linking follow-up inspections to the original inspections; generating, documenting, and sending referrals to other entities, etc.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Solutions will meet this requirement by tracking and supporting the entire inspection process, including scheduling an inspection; planning a schedule and optimizing route; completing onsite inspection checklists; obtaining required digital/electronic signatures; scheduling follow up inspections; linking follow-up inspections to the original inspections; inspection reports via templates.</p> <p>The mobile app configured by GL Solutions is an efficient and intuitive user interface that minimizes the steps for inspectors and back-office staff alike. Agency inspection forms will be adapted into the mobile touch-friendly interface and automatically loaded (and kept up-to-date) on all devices. Capturing inspection data into inspection reports will be a simple process with GL Suite as forms are developed using best practices for the ease of collection and reduction of data entry errors or duplication.</p> <p>GL Suite provides the ability to generate and print inspection reports. As part of GL Suite’s Document Processing functionality GL Suite creates reports via templates.</p> <p>For investigations, GL Suite can have a library of statutes or regulations stored in the system for association with a violation.</p> <p>GL Suite provides a variety of scheduling capabilities. With the GL Suite application, staff at your agency can create and update schedules and view appointments in calendar or agenda format. They can also receive notifications about upcoming or overdue events. Additionally, dashboard views can be tailored to display the types of tasks used repetitively. If you desire even more functionality, GL Suite can interface with Microsoft Outlook.</p> <p>As a highly configurable software system, GL Suite allows an agency to specify all things needed to track and support the entire inspection process.</p>				
MOB-3	<p>Describe how the system will maintain all inspection information, link it to all related establishment and individual license records, and display the findings for required inspections, self-reports, and complaints associated with each establishment’s physical location. Inspection information marked as public, such as summary and public information inspection reports, monitoring reports, complaints, etc. that are designated as public must be available to the public online.</p> <p>Examples of related establishment and individual licenses include pharmacy/pharmacist, nursing home/nursing home administrator/physical location, and child care provisional/operating licenses.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Suite meets the requirement to maintain all inspection information, link it to all related establishment and individual license records, and display the finding for required inspections, self-reports, and complaints associated with each establishment's physical location. Information marked as public will be available to the public online.</p> <p>Please see MOB-1 for additional details about GL Suite's inspection and mobile functionality.</p>					
MOB-4	Describe how the system will generate ad-hoc reports on mobile devices, such as by staff name, establishment name, physical location, related licensee name, geographic area, and supervisory area.	X	X		
<p>Response: GL Suite meets this requirement. The core of the software system is designed to function on any device that can run one of the commonly used web browsers today, such as Google Chrome, Firefox, Safari, and Microsoft Edge/IE. Users operating on a mobile device will have access to reporting tools including GLS Report, our ad-hoc reporting tool.</p>					
MOB-5	Describe how the system will assign onsite inspections in accordance with license-type-specific requirements for periodic physical inspections of an establishment, including random inspections. The system must support reassignment of partial or entire caseloads in an efficient manner. The system must identify inspection compliance dates that are coming due or are past due for a particular establishment or staff member, generate inspection forms/checklists, and put them into the appropriate staff work queue.	X	X		





Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Suite provides a variety of scheduling capabilities. With the GL Suite application, staff at your agency can create and update schedules and view appointments in calendar or agenda format. They can also receive notifications about upcoming or overdue events. Additionally, dashboard views can be tailored to display the types of tasks used repetitively. If you desire even more functionality, GL Suite can interface with Microsoft Outlook.</p> <p>GL Suite meets the requirement to assign onsite inspections in accordance with license-type specific requirements for periodic physical inspections of an establishment, including random inspections; the system allows an agency to assign specific inspectors to a particular inspection type or region or allow GL Suite to select inspectors randomly.</p> <p>In GL Suite, inspections can be triggered by renewals requirements, by application requirements or per predefined agency schedules. GL Suite can also randomly select records for Inspection.</p> <p>GL Suite supports reassignment of partial or entire caseloads in an efficient manner. For example, the inspections can be assigned by type or territory to specific inspectors, and dispatched accordingly. GL Solutions could create a command to allow for the work assigned to a user to be reassigned. GL Suite meets the requirement to identify inspection compliance dates that are coming due or are past due for a particular establishment or staff member, generate inspection forms/checklists, and put them into the appropriate staff work queue.: Inspections can be triggered by application or renewal requirements, or by predefined agency schedules. GL Suite can provide inspectors with lists of entities that are eligible (or require) an inspection. GL Suite generates inspection checklists. Inspection assignments flow seamlessly between mobile devices and your agency office. GL Suite could configure a scheduled job to automatically create the inspections on the record based on pre-defined criteria, and it would also automatically assign it to an inspector.</p> <p>GL Suite provides a variety of scheduling capabilities. With the GL Suite application, staff at your agency can create and update schedules and view appointments in calendar or agenda format. They can also receive notifications about upcoming or overdue events. Additionally, dashboard views can be tailored to display the types of tasks used repetitively. If you desire even more functionality, GL Suite can interface with Microsoft Outlook.</p>				
MOB-6	Describe how the system will generate license-type-specific reports and automatically assign the next required inspection date after an inspection has been completed.	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to produce license-type-specific pre-defined reports regarding the outcome of the inspection. In addition, we will configure business rules which will automatically assign the next required inspection date after an inspection has been completed. Upon the completion of the inspection process, we will configure business rules which will automatically fire and determine the date of the next required inspection based on the current inspection date and any additional criteria.</p>					
MOB-7	Describe how the system will incorporate templates for inspection forms, checklists, and statutes/regulations by Establishment license type, such as pharmacies, child care facilities, salons, health care facilities/services, etc.				
<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to provide templates for inspection forms, checklists, and statutes/regulations. We will work to translate inspection forms into screens for the GL Suite software system which will contain the same values and properties as the forms. In addition, these forms will be converted into forms within the mobile inspection application. We will configure the GL Suite forms and the mobile inspection application forms to contain statutes/regulations in drop down menus. If desired, we can configure the software system to automatically populate the statute/regulation text upon selection.</p>					
MOB-8	Describe how the system will provide an easy way for the inspector to select the statute/regulation violated, such as using drop-down boxes, and provide public and confidential comment fields for staff to detail the specifics of the situation.	X	X		
<p>Response: GL Solutions will meet this requirement. We will specify and configure the mobile inspection application to provide drop down menus for statutes/regulations. Upon selection the statute/regulation, the text of the statute/regulation will be displayed on the screen. We will also configure both public and confidential comment boxes for the inspector to leave any notes or comments as necessary for public or internal consumption.</p>					
MOB-9	Describe how the system will allow for multiple status dates for reports/ citations/deficiencies/disciplinary actions. Reports must not be made public until after a date designated by staff, to allow for appeals, corrective actions, etc. before results are made public.	X	X		
<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to provide multiple status dates for the investigation process. We will configure date fields to capture the date that specified activities are completed. We will configure any public facing websites to only provide the enforcement data to the public when specified criteria, such as a final completion date, is present on the record.</p>					



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
MOB-10	Describe how the system will interact with GPS, in office and on the mobile device, to display all establishments within a specific area of Nebraska and map out inspection schedules/routes in the most efficient manner possible.	X	X		
<p>Response:</p> <p>GL Suite meets the requirement with the ability to interact with GPS, in office and on the mobile device, to display all establishments within a specific area of Nebraska.</p> <p>GL Suite will display maps and GeoData for user-identified locations and display multiple locations on one map. (Geodata is location information stored in a Geographic Information System (GIS).)</p> <p>GL Suite can enable geocoding of location data to allow for interfacing with a Geographic Information System. It will link to your GIS system to display maps and GeoData for user-identified locations. (GIS software uses the information collected from GPS satellites.)</p> <p>To map out the most efficient schedule/route, users need to plug addresses into separate mapping software, such as Google Maps.</p>					
MOB-11	<p>Describe how the system will have a scalable interface for working with different devices such as desktop computers, laptops, tablets, and cell phones. A mobile tablet is the State-preferred device for mobile inspections. At the current time, the State of Nebraska uses Windows-based hardware devices using Android app functionality.</p> <p>Currently, approximately seven thousand (7,000) inspections/surveys are conducted annually, on license types such as Water Wells; Cosmetology schools &amp; salons; Nail Tech schools &amp; salons; Body Art facilities; massage therapy schools &amp; establishments; funeral establishments &amp; branches Community-Based Services; Hospitals; Health Clinics; EMS Services &amp; Training Agencies; Nursing programs; Nursing Homes; Assisted Living Facilities; Home Health Agencies; Hospices; Adult Day Services; Children’s Day Health Services; Rural Health Clinics; Health Maintenance Organizations; ESRDs; Mental Health Substance Use Facilities; Centers for Developmentally Disabled facilities; Psychiatric Residential Treatment Facilities; Intermediate Care Facilities; Public Water Systems; Asbestos, Lead, and Radon Mitigation establishments; Nurse Aide programs; and Child Care establishments with seven (7) license types.</p> <p>DHHS staff will use the module, and others with read- only capability will utilize the information.</p> <p>See Attachment Six - Inspection Documents</p> <p>See Attachment Seven – Investigation Documents</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:            GL Suite is capable of performing on any device that can run one of the major web browsers in use today, such as Google Chrome, Firefox, Safari, and Microsoft Edge/IE. While GL Suite does function on a mobile device, it is not optimized for mobile devices. Our mobile inspection application is configured to function on Android or Apple devices in data-disconnected environments.</p>					
MOB-12	The system must be able to support at least 100 DHHS staff, and up to 50 other DHHS staff that will have mobile capabilities, with an ability for these users to update the system in real time (or not real time) via internet, for up to 500 different forms.	X	X		

### Reporting Requirements

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
RPT-1	Describe how the system will facilitate data collection, analysis, and report generation by authorized users via a web-based application scalable to desktop computers, laptops, tablets, and cell phones.	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b> GL Suite’s integrated reporting functionality provides reports and queries that GL Solutions tailors to meet an agency’s needs; GL Solutions works with agencies to identify and build the needed reports and queries. In addition, GL Suite enables agency staff with sufficient knowledge to design and create custom reports or correspondence from any data maintained in the system, using Crystal Reports and/or Microsoft SQL Reporting Services.</p> <p>Reports and queries dynamically display data in real time. Users can manually run reports and queries at any time, or they schedule them to generate automatically according to their desired timetable.</p> <p>GL Suite allows users to design queries and reports with input parameters (e.g. date range, specific license type, status of application) that allow users to refine or limit the data retrieved. The system automatically prompts users to set parameters. For example, GL Suite might prompt the user for a date range or license types to include. Combinations of input parameters maximize the value of reports and queries; this allows a single defined query or report to meet a multitude of objectives.</p> <p>Using GL Suite’s role-based security options, system administrators can restrict rights to reports and queries, controlling who can read and/or edit each report. They can even determine whether a particular report is even visible to various staff types.</p> <p>Report features that GL Suite supports include:</p> <ul style="list-style-type: none"> <li>• Including Photos (e.g. License Certificate Report with Licensee Photo)</li> <li>• Complex Charts, graphs and other graphical representation of data</li> <li>• Grouping, Sorting and Complex Data Calculations</li> <li>• Bar Codes</li> <li>• Output to pdf, Word, Excel or web page</li> <li>• QR Codes</li> <li>• "Click through" details</li> </ul>				
RPT-2	Describe how the system will have an intuitive, dynamic report creation functionality that is user friendly and allows easy creation of ad-hoc reports without Contractor support.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Suite’s ad-hoc reporting tool, GLS Report, allows users to create on-the-fly reports using a user-friendly interface. Authorized users can generate reports based on any field or combination of fields they desire. They can choose precisely the type of data they want to see, and they can sort and manipulate the returned results. GLS Report respects the system’s role-based security so users only see data appropriate to their role.</p> <p>Users can export the results of ad-hoc reports to a variety of formats to share the information with others. If an ad-hoc report proves useful it can be saved to a menu. Later, it can be re-run to reflect the most current system information.</p> <p>GLS Report requires no updating or maintenance. Any changes made to the system through the Configuration Utility are instantly reflected in GLS Report; therefore, ad-hoc reports dynamically display data in real time.</p>				
RPT-3	Describe how the system will search, display, and generate reports by any field or combination of fields, using the same field names as shown on staff screens.	X	X		
	<p>Response:</p> <p>GL Suite meets the requirement to search, display and generate reports by any field or combination of fields, using the same field names as shown on staff screens. GL Suite’s ad-hoc reporting tool, GLS Report, allows users to create reports based on any field or combination of fields they desire. GL Solutions will configure reports to produce data on data fields using the same field names as shown on staff screens.</p>				
RPT-4	Describe how the system will import and export information for data analysis.	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response: GL Suite meets the requirement to import and export information for data analysis.</p> <p>Each instance of GL Suite contains specified, configured reports, queries, and correspondences to meet the predetermined needs of users. These export to various file formats, including PDF, Microsoft Excel, and Microsoft Word, depending on how the data is to be used. In addition, GL Suite contains GLS Report, which allows users to run custom queries of the database (according to their security levels) to retrieve the data they need at a moment's notice. GL Suite contains multiple reporting capabilities:</p> <ul style="list-style-type: none"> <li>• Export to Excel: Specified queries with data to be sorted, reviewed, and calculated</li> <li>• Export to PDF: Specified reports where data is formatted for clean review, summary, and printing</li> <li>• Export to Word: Specified correspondence where staff can make additions before sharing</li> <li>• GLS Report: Ad-hoc reporting tool for querying data as needed, returning data linked to records</li> </ul> <p>Data imports will require a standardized data-exchange interface to import data into the GL Suite software system.</p>				
RPT-5	Describe how the system will facilitate automatic report generation on a staff-defined schedule, and automatically send the reports to designated internal and/or external customers. The system must alert appropriate staff if a report fails.	X	X		
	<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to automatically generate and send reports on a defined schedule. We will configure a scheduled job which will generate specified reports on a defined schedule and automatically emailed to designated internal and/or external customers.</p>				
RPT-6	Describe how the system will generate ad-hoc reports using templates for inspections, monitoring, and complaints regarding establishments, link them to the license record and the physical location, and display them online.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response: GL Suite meets the requirement by generating ad-hoc reports using templates for inspections, monitoring and complaints regarding establishments, as well as links them to the license record and the physical location and displays them online.</p> <p>GL Suite allows a user to create an ad hoc report and then save the report for later use as a template.</p> <p>As part of mobile inspections in the system, GL Suite automatically deploys Inspection form templates to devices. For mobile use, the doForms mobile app configured by GL Solutions is an efficient and intuitive user interface that minimizes the steps for inspectors and back-office staff alike. Agency inspection forms will be adapted into the mobile touch-friendly interface and automatically loaded (and kept up-to-date) on all devices.</p> <p>GL Suite allows you to link related entities using association screens, which track and display the appropriate relationships, whether those relationships are one-to-one or one-to-many. Association screens are click-through, providing agency staff with an intuitive visual representation of the relationships, as well as the ability to have multiple records open at any given time. In GL Suite, associations allow unlimited links from one record to another. Please see RPT-1 for additional details about GL Suite’s reporting features.</p>				
RPT-7	<p>Describe how the system will support calculating averages, percentages, days between, deviations, etc. between multiple data elements using the following scenarios:</p> <ul style="list-style-type: none"> <li>Days between would compare, for instance, the date an application was entered and the date the license was issued, and give us the total number of days for each application.</li> <li>An average may be the average number of days it took for all Nursing applications to be issued.</li> <li>Percentages would be the percentage of nursing applications issued within two (2) days.</li> <li>Deviations would show the outliers in the data, such as one problematic application that took sixty (60) days to process.</li> </ul>	X	X		





Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Solutions has tailored GL Suite for many large agencies that perform complicated calculations. From the medical profession to accountancy boards and even charitable gaming, each agency brought a unique set of requirements to the table. GL Suite is a solid foundation that supports each of our clients and their distinctive needs. It can perform calculations on any data or combination of data in your system.</p> <p>In the first step, data is entered automatically into GL Suite through interfaces. GL Solutions has created custom interfaces with a wide variety of third party data sources including (but not only) banking, securities, tax returns, testing, continuing education, and criminal background. These interfaces can be for import of data only or bi-directional. They can also be scheduled to run at a predetermined time (e.g. nightly, hourly, etc.) or can be near real-time data exchanges.</p> <p>Once the data is imported into GL Suite, it is available for the required unique calculations. Calculations can be automatically triggered by the import itself, or they can be initiated by an end user. GL Suite can process through the data with sophisticated conditional logic. It does all the hard work, allowing your staff to focus on the results not the calculations.</p>				

**Data Interface Requirements**

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
INT-1	<p>Describe how the system supports two-way data interfaces with other applications as needed, to export and import data. An industry-standard HL7 interface is desired.</p> <p>For example, the system must automatically export and import disciplinary data with NURSYS on a daily basis; automatically import establishment license and certification data from the federally-owned Aspen Central Office (ACO) software to update the database on a daily basis; allow other state entities to upload and populate data, such as Step Up To Quality ratings for child care programs and fingerprint-based background searches; and allow third parties, such as schools, exam providers, and employers, to upload and overwrite data.</p> <p>DHHS anticipates disciplinary databanks, compacts, schools, exam companies, and employers to interact with the system and must have a unique method developed for each one.</p>	X	X		



**Response:**

GL Solutions regularly creates custom interfaces, which allow for all manner of data exchange between our clients and third parties. GL Suite is capable of interfacing with any system that provides a well-documented API.

We build interfaces to support online credit card payments, criminal record checks, information updates, exam scheduling/scoring/administration, and more. Custom interfaces can provide nearly real-time or delayed transactions (whichever you choose).

GL Solutions uses various methods of integration to create customized third-party interfaces:

- GL Suite integrates with other applications and exchanges transactional data using XML, other .Net Web Services (SOAP calls), and DTS packages as long as a documented API is available. XML is the most common method used by web services technology. If the legacy application does not write to XML files, GL Suite will import data from any Open Database Connectivity (ODBC) compatible data source, including database or text files. The legacy application must write to the ODBC compliant source; GL Solutions will import the data and translate the data to an XML document. Finally, GL Solutions will submit the document via a SOAP call to GL Suite's web interface and write responses to the ODBC data source. To integrate GL Suite with other applications, GL Solutions Agency Specialists gather and document information about the business requirements underlying the integration request. Once documented, a Business Analyst writes a technical specification that describes the interface between GL Suite and the third party application.
- Business requirements that merely call a third-party application but do not exchange transactional data can be instantiated by configuring simple business rules using the Configuration Manager. For example, GL Suite supports adding a menu item or button to a particular interface that instantiates a third-party application and submits record information, such as the certificate/license number of the individual who accessed the function.
- For integration in which data flows from a third-party application to GL Suite and latency is not an issue, GL Solutions will work with the third-party application vendor to export data to a text file or database format on a regular schedule. GL Suite will monitor the folder destination of the export or the database table for changes. When a change is detected, GL Suite activates a custom application written by GL Solutions, which takes the third-party information, requests the corresponding GL Suite XML file representing the licensee or other record modified from the business tier, and modifies the XML file based on the imported information. The modified XML file is then resubmitted to the business tier where business rules are applied and ultimately submitted to the data tier to update the RDBMS.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<ul style="list-style-type: none"> <li>For integration where data flows from GL Suite to a third-party application and latency is an issue, GL Solutions builds custom export programs. The export programs store data from the data warehouse in a format specified by the third-party application. The third-party application must provide either an API to activate the upload of the information or a self-contained mechanism for uploading the file.</li> </ul>				
INT-2	Describe how the system will internally or externally interface with a scanning/imaging system that links documents to specific licensee records via an intuitive interface that minimizes staff time. All documents must be tracked in the licensee applicant file, designated by receipt date, mailing date, item category, retention schedule, security/access level, etc., as identified by staff.	X	X		
	<p>Response: GL Solutions will meet this requirement. We will specify and configure GL Suite to provide OCR functionality to assist with the scanning of documents and linking them to the appropriate record. Our OCR technology is capable of scanning documents and automatically populating properties with data directly from the document. The scanned documents will appear in a document queue for review to verify that the scanned information is correct, and the documents are linking to the appropriate record.</p>				
INT-3	<p>Describe how the system will create and store documents using Word/Excel which can be exported for use in accounting systems such as OnBase and SharePoint.</p> <p>For example, a completed refund form produced in Word should be exported to SharePoint for approval and processing. Data reports should be exported to Excel.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Suite meets the requirement to create and store documents using Word/Excel, which can be exported for use in accounting systems, such as OnBase and SharePoint.</p> <p>GL Suite functions with any client-side operating system, and it integrates thoroughly with software applications such as Windows, MS Office, and Adobe PDF Reader. GL Suite was designed to work with standard Microsoft Office applications for viewing, editing, and printing automatically generated correspondence and reports. It is compatible with any version of MS Word, Excel 2003 or higher, and Outlook 2007 or higher. Other word processing and spreadsheet programs can be used with it as well.</p> <p>GL Solutions will interface with accounting systems, such as OnBase and SharePoint; GL Solutions commonly implements accounting information interfaces for clients.</p>				

## Online Transaction and Public Interface Requirements

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ONL-1	Describe how the system will provide a searchable online database of licensee records and related public documents that is updated in real time, through an intuitive interface. The system must allow multiple data field selection in the search feature. The system must provide “sounds like” and alternative spelling options for identified search fields, with at least 15 results shown per screen, and additional results available by scrolling. The results list must include basic information such as licensee name, license number, license type, license status, and license expiration date. Search elements, results data, and additional information must be tailored to specific license type needs.	X	X		
<p>Response:</p> <p>GL Solutions will meet this requirement. The general public will be able to use a verification website to look up and view information online to verify licensee information the DHHS wishes to share from the GL Suite system. Based on the determination of the agency, only data and/or documentation specified to be “public” will be shown on this verification system. The verification website can display any element of data specified to be shared with the public. The website will allow the public access to real-time information about license status and enables the public to search for records based on status, location, license duration, etc. GL Suite’s security ensures that all public information is available online, but all non-public data will only be available to DHHS staff with appropriate security permissions.</p>					
ONL-2	The system’s online database must provide an option to search for licensees within a specified mileage of a zip code through an intuitive interface. For instance, users may select from a list of mileage amounts, such as within 25, 50, 100, or 150 miles of the zip code. Results displayed must be tailored to license type.  For example, search fields for child care establishments must include business hours, ages served, Step Up To Quality rating, and a selected the number of miles from the specified zip code.	X	X		
<p>Response:</p> <p>GL Solutions will meet this requirement. We will configure the online website to provide the ability to search for licensees within a specified mileage of a zip code through the user interface. We will utilize GIS technology to facilitate the tracking of locations within the specified zip code.</p>					
ONL-3	The system’s online database must have a Frequently Asked Questions (FAQ) section to help users navigate and locate the information they need through an intuitive interface.	X	X		



**Response:**

GL Suite offers a multitude of resources to help users navigate and locate the information they need through an intuitive interface.

*Online Help:*

GL Suite offers an online help utility. The help utility displays default help information related to specific features of the User Interface and software.

Additionally, the utility allows for a customized .html page to be created to provide help for every field on every page of your system.

GL Suite offers the ability to maintain a dynamic help system directly integrated into the application. And GL Suite enables your agency to maintain the content yourself, without any programming or coding knowledge, allowing identification of particularly troublesome areas in a process without any extra hassle. Help content explains the purpose of a field, the steps needed to complete an action, or any other information your staff needs to get the job done.

*Agency Training:*

Agency-specific training includes online, instructor-led courses for new staff and refresher courses for existing staff focusing on the use of the software to perform specific business processes. The training utilizes GL Solutions training material developed during the installation.

*SDS:*

GL Solutions created the Self-Documenting Specification (SDS). The SDS is a printout of all screens associated to a particular license type. From the Configuration Manager or for any screen in the User Interface, users can generate an SDS that describes, in detail, any screen or an object such as a license type. Each SDS provides low-level details about a screen's fields and functionality and includes visual representations of screens with approximate field layout. It provides a report of real-time configuration settings in plain English, providing a strong basis for planning, communicating, and making system enhancements. Self-specifying functionalities include screens, fields, security, business rules, record relationships (associations), menus and more. In GL Suite, the SDS is created directly from the Configuration Manager, so it is always accurate.

*Process Guides:*

GL Solutions offers Process Guides—user guides available online that describe how to use your system; GL Solutions tailors the Process Guides to specifically address your software.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ONL-4	Describe how the system will be able to change the online database interface to use languages other than English (Spanish, Vietnamese, etc.), or provide a link to the translated interface.	X	X		
<p>Response:</p> <p>As GL Suite is a web-based browser, we presume that browser functions such as Google Translate can assist with the translation of public web pages and the GL Suite software system into another language. GL Solutions does not offer translation capabilities that are native to the application.</p>					
ONL-5	Describe how the system will display license-type-specific information when a license is selected, with a list of related public documents such as disciplinary action, inspection reports, ownership documentation, construction project information, etc. Documents must be displayed upon selection. For child care establishments, describe how the system will indicate the establishment's Step Up to Quality rating, whether or not the child care is currently in compliance, and display all citations online without any identifying names displayed to the public.	X	X		
<p>Response:</p> <p>GL Suite meets the requirement to display license-type-specific information when a license is selected, with a list of related public documents such as disciplinary action, inspection reports, ownership documentation, construction project information, etc, with documents displayed upon selection. For childcare establishments, the system will indicate the establishment's Step Up to Quality rating, whether or not the child care is currently in compliance, and display all citations online without any identifying names displayed to the public.</p> <p>GL Suite's online verification websites allow the public to search an agency database and view data related to a licensee such as disciplinary action, inspection reports, ownership documentation and more. Verification sites generally consist of a Search page and a Results page, while some agencies prefer a three page version, adding a Details page for viewing additional data related to the licensee. GL Solutions designs search parameters specifically around an agency's processes, capturing key data categories to search on and display results.</p> <p>GL Solutions designs and develops business rules to filter and display search results based on the agency's specific policies. GL Suite offers a highly configurable product, allowing an agency to see all of the required information for childcare establishments.</p>					
ONL-6	Describe how the system will provide links that generate documents, such as certifications and wallet cards, through an intuitive interface for the selected license. The generated documents should be printable in a professional-looking format, such as a pop-out PDF with letterhead, seal, or other image elements required by DHHS. Information provided on the documents should be specific to each license type. Staff must be able to update the templates as needed.	X	X		





Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response: GL Suite meets the requirement; GL Solutions will provide an online account system that allows licensees to securely generate and print their own licensure documentation, such as certifications and wall cards; GL Solutions will provide a link from the self-service website dashboard to allow licensees to print any active certificates or request a copy. The documents print in a professional-looking format, incorporating elements required by DHHS. Staff will be able to update the templates as needed.</p>				
ONL-7	<p>Describe how the system will allow applicants, licensees, board members, and the public to establish secure personal online accounts, with role-based security regarding public and editable data fields, through an intuitive interface. Describe how the system will allow users to configure the dashboard/interface to their needs. The system must facilitate and document two-way communication between staff, applicants, licensees, and the public. The system must provide a drop-down list of shared email accounts identified by what types of questions should go to each one.</p> <p>All of the license types have multiple applications, such as initial, renewal, reinstatement, exam, etc.</p> <p>See Attachment One, Type and Number of Licensees.</p>	X	X		
	<p>Response: GL Suite meets the requirement by allowing applicants, licensees, board members and the public to establish secure online account. Users will have the capability of creating their online account through a secure web interface and establish a record within the GL Suite software system. Users will be prompted to enter contact information and a unique password.</p> <p>GL Suite facilitates and documents two-way communication between staff, applicants, licensees and the public. Email Management helps manage incoming and outgoing emails, along with attachments. Capabilities of Email Management include formatting, storing, organizing and sending email, including a batch of emails. Some of the tools in Email Management include formatted email templates, automatic attachment uploads, an Email Thread Viewer and a Pending Documents Queue. Email Management also uses Optical Character Recognition (OCR) functionality to read and save information from email attachments.</p> <p>GL Suite will provide a drop-down list of shared email accounts identified by what type of questions should go to each one; GL Suite offers a highly configurable system, meeting your particular system requirements.</p>				

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ONL-8	Describe how the system will allow the public to generate rosters and lists of licensee contact information for printing and/or download, based on standard reports and/or personalized reports based on criteria/data fields they select through a “wizard” or other intuitive interface. Criteria must include the zip code area search specified in ONL-2. Downloads must be available in standard formats such as Excel, .csv, and .txt. Any applicable fees must be securely collected online.	X	X		
<p><b>Response:</b>            GL Suite meets the requirement to allow the public to generate rosters and lists of licensee contact information for printing and/or download, based on standard reports and/or personalized reports based on criteria/data fields they select through a “wizard” or other intuitive interface. Criteria will include the zip code area search. Downloads will be available in standard formats, such as Excel, .csv and .txt. And applicable fee will be securely collected online.</p> <p>GL Solutions will create a web interface to allow users to search for licensees by zip code, select the licensees they wish to include in the roster report, and require payment prior to the generation of the report.</p> <p>GL Solutions will use payment processing to facilitate the process through the web for public users. GL Solutions will configure the web process to include collection of fees required to obtain the roster/list of licensee contact information.</p>					
ONL-9	<p>Describe how the system will provide an online shopping-cart-type payment system, document all transactions and payments for each online account and corresponding license record, display a list of all fees due, and allow partial or full payment of designated fee(s) through an intuitive interface. The system must allow payment of ad-hoc fees assessed by staff against a licensee’s record. Notification of transactions must be sent to the license-type-specific staff work queue.</p> <p>For example, fees required to be paid in full may include roster/list fees, application fees, renewal fees, reinstatement fees, late fees, etc. Fees that allow partial payment may include compliance costs, administrative and civil penalties, administrative fees, etc. Licensees may need to pay an additional license fee due to fee proration.</p>	X	X		
<p><b>Response:</b>            GL Solutions will meet this requirement. We will specify and configure the self-service website to allow users to view all pending invoices and select the invoices they wish to pay by adding them to an online cart. We will configure the payment processing component of the website to allow users to pay partial fees or the full fees. GL Suite will maintain all records of the payments and receipts, including what combination of invoices was processed with each individual payment. We will also configure payments to be sent to license-type-specific work queues for staff to review.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ONL-10	<p>The online payment system must use the State of Nebraska’s credit card processor, which is currently Elavon, and must be able to work with a broad range of other payment processors. Secure socket layer (SSL) encryption must be used. Describe how the system will permanently store all of the payment information on the licensee record, including the payer contact information, transaction data, attachments, payment processor transaction confirmation number, and last 4 digits of the payer’s credit card number for each transaction. Payment reports must be able to be run with date and time specifications. System must record the transaction ID, licensee name, license number, license type, and payer name to ensure that payments are accurately credited and refunded.</p> <p>State contract 66533-O4 is with U.S. Bank for Credit Card Processing.  <a href="http://das.nebraska.gov/materiel/purchasing/contracts/pdfs/66533(o4)awd.pdf">http://das.nebraska.gov/materiel/purchasing/contracts/pdfs/66533(o4)awd.pdf</a></p> <p>Elavon does not use a specific product, but whatever product is used must be either an Elavon product or certified with Elavon.</p>	X	X		
<p>Response:            GL Solutions will meet this requirement. GL Suite will integrate with most third-party payment processors. GL Suite retains credit card confirmation number responses from the payment processor but does not store credit card numbers. Your third-party payment processor will handle all of your payment processing.</p>					
ONL-11	<p>The system must meet Payment Card Industry (PCI) data security standards. Quarterly PCI audits must be provided to DHHS that verify compliance with PCI standards. Annual proof of compliance is also required, either by providing certification on the VISA website (<a href="https://www.visa.com/splisting/searchGrsp.do">https://www.visa.com/splisting/searchGrsp.do</a>) or by providing a PCI Data Security Standard Self-Assessment Questionnaire and Attestations of Compliance signed by a qualified security assessor. All components of the system provided by the Contractor must mitigate level 3, 4, and 5 vulnerabilities as quickly as possible.</p>	X	X		
<p>Response:            GL Solutions meets this requirement. Our standard practices are to comply with NIST-800-53, HIPAA, and PCI-DSS security standards. We will provide annual proof of compliance as well as quarterly PCI audits to verify compliance.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ONL-12	<p>Describe how the system will allow the public to complete and submit applications online; submit related documentation; view application status/checklist/deficiencies; schedule and take examinations; review scores; make payments; and receive receipts through an intuitive interface. The system must check applicant information against the database as it is entered, in real time, to check to see if the person has held any licenses, and present the applicant with the appropriate initial or reinstatement license application form. The application must be sent to the license-type-specific staff work queue.</p> <p>For example, Harold applies online for an LPN license, with a universal first page that asks for basic information (name, DOB, SSN, prior licenses). The system checks the database and finds that Harold has an inactive LPN license. The system asks Harold if that was the license he held, and if the answer is yes, provides him with a reinstatement application form as the next step/page.</p>	X	X		
<p><b>Response:</b>            GL Suite offers an online account system with an intuitive interface for applicants to securely go through the application process. GL Suite’s online application allows applicants to complete and submit applications. In a step-by-step process, applicants enter all relevant information, upload required document and even make required payments, as well as receive receipts. GL Suite’s self-service web pages provide a main dashboard, where users can be provided access to things such as the application status, document uploads, payments of fees, schedule examinations and score results. These activities would be available to all users or can be designed to only display if the user meets specific criteria, such as an application in progress or a specific license type.</p> <p>Users create online logins that are associated with their record within GL Suite. GL Solutions can create dashboard pages that dynamically populate data based on license history. As GL Suite retains all historical information such as previous license history, the self-service web portal will utilize current and past license information to determine which license applications are available to the online user.</p> <p>Once the licensee completes the process, GL Suite stores all of the information and documents. Then the appropriate staff member receives an assignment to review and process the application. The process requires no data entry from the agency staff.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ONL-13	<p>Describe how the system will allow licensees to generate, complete, and submit renewal forms online; submit other renewal documentation; make payments; and receive receipts through an intuitive interface. Notification must be sent to the license-type-specific staff work queue.</p> <p>DHHS currently has approximately 378 license types. Approximately 83 of the 378 license types do not renew.</p> <p>There are five (5) categories of renewal processes:</p> <ol style="list-style-type: none"> <li>1. Individuals</li> <li>2. Businesses</li> <li>3. Child Care</li> <li>4. Community-Based Services</li> <li>5. Health Care Facilities and Services</li> </ol> <p>See Attachment One, Type and Number of Licensees.</p>	X	X		
<p><b>Response:</b>            GL Suite allows the licensee to generate, complete and submit renewal forms online; online renewals offer the ability for a licensee to log into the agency web site and proceed through their license renewal process. The licensee enters all data required to complete an online renewal, attests that the information they have entered is true, and completes an online payment. GL Suite’s intuitive interface allows for online payments, such as credit, debit or eCheck. Then users receive receipts, with the ability to view, print or email a receipt.</p> <p>Online renewals include the functionality to submit and upload other renewal documentation. GL Solutions configures online renewals to support the specific requirements of each licensing agency. One the renewal has been completed, business rules will automatically route the notification of completion to the appropriate staff/role work queue for review.</p>					
ONL-14	<p>The online account system must allow licensees to submit name changes and related documentation, update contact information, update employer information, and view their transaction, fee, and payment history, as allowable for each license type, through an intuitive interface. Notification must be sent to the license-type-specific staff work queue.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions will meet this requirement. We will specify and configure the self-service website to allow users to update contact information and initiate name changes. We will configure online workflows for users to submit name changes, along with any required documentation and fees. We will also configure the website to allow users to manage their contact information and update it as needed. The website will have a central dashboard that will allow users to view active licenses, transaction and payment history, and update employer information. We will configure the applicable online workflows to route an assignment to the appropriate staff work queues for review.</p>					
ONL-15	<p>Describe how the system will allow licensees to securely complete and submit self-inspection documents, plans of improvement, written verification of correction, and other documentation/ correspondence online. Describe how the system will also track online submissions, and associate them with the licensee record, as well as generate and track staff response/denial/approval correspondence regarding the documents submitted.</p>	X	X		
<p>Response: GL Solutions will meet this requirement. We will specify and configure the self-service website to facilitate the submission of licensee documents such as self-inspection documents, plans of improvement, written verification of correction, etc. We will configure the website to dynamically display links for document uploads that are applicable to the license activities or enforcement activities set on the licensee record. We will configure requirements tasks for these documents to track the completion of the requirements. We will configure business rules where applicable to facilitate the notification to the licensee and staff.</p>					
ONL-16	<p>Board member data must be maintained in the database, including public and confidential contact information, service dates, and the population being represented. Information designated as public must be automatically posted and updated daily on the website in board-specific rosters that are available to the public.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:</p> <p>GL Suite meets the requirement to maintain board member data in the database, including public and confidential contact information, service dates, and the population being represented. Information designated as public will be automatically posted and updated daily on the website in board-specific rosters that are available to the public.</p> <p>When agency users create a record for an entity, such as a board member, in GL Suite, all of the entity’s information—from the very first day of the association with your agency to the very end—is located in one place. The record’s Navigation Tree displays all of the information being tracked and stored. GL Suite is a proficient tool for managing and tracking entity information. Using GL Suite, staff at your agency can enter, maintain, and track information, such as service dates.</p> <p>Public information will be automatically posted and updated daily on the website; as data gets updated within the GL Suite system, the public website will automatically populate those changes as they are saved.</p>					
ONL-17	Public meeting and hearing information, such as notices, agendas, minutes, proposed regulations, 407 reviews, etc. must be available to the public via the public-facing website. The public must be able to subscribe to information of interest to them, and automatically be notified when such information is made available or updated on the website. Information on upcoming events must be posted as it arises, and public access to past event information must be maintained.	X	X		
<p>Response:</p> <p>GL Suite meets the requirement to make the following available to the public via the public-facing website: public meeting and hearing information, such as notices, agendas, minutes, proposed regulations and 407 reviews, etc. In addition, information on upcoming events will be posted on the public website. As data gets updated within the GL Suite system, the public website will reflect those changes.</p>					
ONL-18	Confidential information used by board members, investigators, legal staff, and other designated individuals must securely be made available to only those individuals via the website. Designated individuals must be able to subscribe to information of interest to them, and automatically be notified when such information is made available or updated on the website.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:</p> <p>GL Suite meets the requirement: confidential information used by board members, investigators, legal staff, and other designated individuals should securely be made available to only those individuals via the website. GL Suite ensures that online users only have access to the screens and data updates their security settings allow for.</p> <p>In addition, using GL Suite’s role-based security options, system administrators can restrict rights to reports and queries, controlling who can read and/or edit each report. They can even determine whether a particular report is even visible to various staff types.</p>					
ONL-19	Licensee information must be automatically posted and updated daily on the website in license-type-specific rosters that are available to the public.	X	X		
<p>Response:</p> <p>GL Suite meets the requirement. Licensee information will be automatically posted and updated daily on the website in license-type-specific rosters that are available to the public; as data gets updated within the GL Suite system, the public website will automatically populate those changes as they are saved. Verification websites display data reflected from the database in real time.</p>					

### **Training Requirements**

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
TRN-1	Describe how the Contractor will provide and update the administrator reference materials and data dictionaries to include current data elements and functions in new versions.	X	X		



**Response:**

GL Solutions provides all documentation necessary. GL Solutions will prepare and distribute documentation for the DHHS's GL Suite system, including business process walkthroughs for each business process (which guide individuals through each process step-by-step) and an administrator manual. Full documentation of not only the software configuration but also the business processes will also be easily accessible to the technical support personnel and to the DHHS (including detailed specifications, requirements, business process walkthroughs, etc.) via GL Portal. Resource training tools include Process Guides and Self-Documenting Specifications (SDS).

With many software programs, configurations regularly cause the software and the specifications to get out of synch causing confusion and frustration. That is why GL Solutions created the Self-Documenting Specification (SDS).

The SDS is a printout of all screens associated to a particular business process. From the Configuration Manager or for any screen in the User Interface, users can generate an SDS that describes, in detail, any screen or an object such as a license type. Each SDS provides low-level details about a screen's fields and functionality and includes visual representations of screens with approximate field layout. It provides a report of real-time configuration settings in plain English, providing a strong basis for planning, communicating, and making system enhancements. Self-specifying functionalities include screens, fields, security, business rules, record relationships (associations), menus and more. In GL Suite, the SDS is created directly from the Configuration Manager, so it is always accurate.

Each SDS includes:

1. Cover Page with:
  - a. Client name
  - b. Business Process name
2. Table of Contents with:
  - a. A row for each ObjectType group
  - b. ObjectTypes grouped by Collection
3. Every ObjectType (screen, command, report, and query) referenced by:
  - a. the Phase 2 Functional Workflow Diagram
  - b. a business rule on an ObjectType, which is referenced in the Phase 2 Functional Workflow Diagram



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	4. Custom GUI sample mock ups (not full specifications, just display) including: <ul style="list-style-type: none"> <li>a. Custom Home Screens</li> <li>b. Custom Subforms for all ObjectTypes in the SDS</li> <li>c. Custom GUIs</li> </ul>				
TRN-2	Describe the strategy for providing train-the-trainer instruction and materials, online training, online user reference materials, on-going support, and help features for instruction on use of the applications, and are updated to include current data elements and functions in new versions. Include the number and outline of training sessions necessary to optimally implement and operate the system. Describe the delivery method, which must include a combination of classroom and online learning techniques.	X	X		



**Response:**

GL Solutions typically recommends a “train-the-trainer” approach to end-user training. Following this method, clients identify a user who specializes in a particular area (a Subject Matter Expert [SME]) and/or a Super User, who will become the “champion” trainer for his/her agency or group. This approach allows our clients to harness the subject-matter expertise of their own staff and direct their internal power-users in mentoring, coaching, and offering support to other staff members.

GL Solutions’ training objectives are to provide client staff with the knowledge and materials necessary to use and administer the system effectively, to train client trainers to support fellow-staff in learning the new system, and to increase end-user ability to perform essential business functions successfully. To achieve these aims, we “show”, “tell”, “practice”, and repeat these steps until trainees gain mastery. This proven training strategy is executed by a seasoned trainer, who is well versed in the GL Suite software, the intricacies of your new system, and your needs.

We design our training courses with the end users in mind. Classes are conducted using each agency’s converted data—familiarity with the data being demonstrated will make learning more rapid and long lasting. Trainees will work with concrete examples, which allow them to practice, gain confidence, and receive feedback on processes they will use on a day-to-day basis. If there is time during training, we encourage users to bring in “real work” to input and practice with. Additionally, we encourage users to schedule time to do “real work” in the new system for two weeks after the training.

To determine your specific training needs and the organization of courses, the GL Solutions trainer will work with your Project Team and conduct a Training Needs Analysis (either informally or via a questionnaire). Using this information and supporting project summary documentation, our trainer will create your training courses and course materials. Training courses cover, at least, the following topics:

- System use and application functionality
- System configuration (Configuration utility)
- All features of the system tool set (reporting, etc.)
- Report generation

Onsite trainings include lectures, discussions, and hands-on system use. Organization of classes, attendees for each class, content, and scheduling are determined by your staff’s roles and responsibilities with respect to the topics being covered. Training sessions typically take anywhere from 3-5 business days depending on the size of the group.



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>GL Solutions will create and provide training materials that are tailored to reflect the configurations specific to your system and that correspond to all topics covered in your customized training. Training materials will be scaled according to the size and requirements of the agency. All documentation will be formatted in MS Word and available in hardcopy and electronic formats.</p>				
TRN-3	Describe how the system provides help and training functions, which must be built into the software.	X	X		
	<p><b>Response:</b>            GL Suite comes with an on-line help utility. The utility displays default help information related to specific features of the User Interface and software. Additionally, the utility allows for the creation of a customized .html to provide help for every field on every page of your system.</p> <p>The help system can be easily maintained by your staff. A “help” folder will reside directly on your server, and updates, additions, and changes can be made in plain English—no .html or other mark-up language required.</p> <p><b><u>Process Guides</u></b></p> <p>GL Solutions offers Process Guides available online that describe how to use your system; GL Solutions tailors the Process Guides to specifically address your software. GL Suite helps staff navigate through a complex business process with ease using the Process Guide. The guide, tailored to each business process designed in GL Suite, provides step-by-step instructions to complete a process from beginning to end. The guides eliminate any guesswork and keep track of where your staff are in a process, so each requirement is met.</p> <p>GL Suite’s Process Guide is designed along with the process, so each step is accurate. The step your staff is currently on stays highlighted, making it easy to keep track of where you are. Each step indicates whether it requires manual interaction, or if it will be automated. Underlined steps automatically navigate your staff to the screen they need with a simple click of the mouse. Clicking Save on a screen to save any changes will automatically go to the next step in the Process Guide. Some actions, such as creating an application on a licensee record, can even automatically be performed by simply clicking on the step.</p>				



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
TRN-4	Describe how the system provides interactive communication such as user groups for staff questions and support.	X	X		
<p>Response:</p> <p>GL Solutions facilitates support of their GL Suite application through our Ticket Management process. Our Ticket Management process provides a structured approach to addressing issues and defects within the software system. GL Suite users will have access to GL Portal, our project communication and collaboration platform. Access to GL Portal will allow GL Suite users to submit new issue reports, monitor the status of previously reported defects, and verify the resolution of completed items. An issue report form is present on GL Portal, which helps streamline the collection of data by requesting a description of the issue, related screenshots, and the Process Guide step that the issue occurs. The form will also include the severity level of the issue, with a guide to help determine the appropriate severity level.</p> <p>The Ticket Management process begins when an issue is submitted to GL Solutions. When an issue is submitted, a task is created. The first step in the Ticket Management process is Order Entry, where our Quality Assurance team reviews the task, performs steps to verify the issue, and creates a Unit Test Plan designed to replicate the issue. The QA representative may contact a member of the agency staff if any clarity is required. Once this is complete, the ticket is routed either the Business Analyst team to correct the design specification, or the configuration/development team to correct the functionality to perform according to the specification. Work is then performed to correct the issue, and then routed back to the QA team. The QA team re-tests the issue to confirm that the issue is resolved. If not, a new Unit Test Plan is created, and the task is once again routed to the appropriate team to correct the work. If it is confirmed to be resolved, the QA representative will create a notification to send to the agency to inform them that the issue has been resolved with the steps to test and confirm the functionality on the UAT environment. Once the agency confirms the issue has been resolved, they can promote it to the Production environment at their convenience.</p>					
TRN-5	Describe how the system provides libraries of available reports, including instructions on modifying the reports.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Solutions meets the requirement by providing instructions on modifying the reports. GL Solutions' Client Developer Training provides a method for agencies to self-sufficiently support their GL Suite application. Part of the training includes training on reports. The process will start with the agency and GL Solutions working together to mutually agree upon a Client Developer Training Plan, which will outline and define the various training sessions based on the desired training scope of the agency. The overall objective of Client Developer Training is to help the agency staff trainees to perform necessary support functions for their GL Suite system.</p> <p>GL Solutions meets the requirement by providing a library of available reports. GL Solutions structures reports within menus in the GL Suite system. Specific reports are available from the entity in which they are run, while more general reports are available from the main menu.</p>				

### **Public Health Investigations Module Requirements**

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
PHI-1	The system must allow internet based access methods, for all types of users, after initial registration. Please describe the channels by which users can interface with the system.	X	X		
	<p>Response:</p> <p>GL Suite's Client tier consists of web pages securely displayed by a web browser. The only software required to use it is a web browser. We developed our web-browser interface to function on the top used web browsers today, such as Google Chrome, Firefox, Safari, and Internet Explorer.</p>				
PHI-2	The system must allow users to register for system access via the internet. Please describe how the system meets this requirement, including how system access rights are determined and assigned.	X	X		
	<p>Response:</p> <p>GL Solutions meets this requirement. Our standard practices are to allow for the creation of login credentials for external users of the system. We will configure a public facing website that will facilitate the creation of an account using a combination of a username (typically an email address is used as the username) and a password.</p>				



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
PHI-3	The system must log off users after a system administrator configurable period of inactivity. Such inactivity periods may vary by user role. Please describe how the system meets these requirements.	X	X		
<p>Response:</p> <p>GL Suite meets this requirement. The core of the software system automatically logs off users after a specified period of inactivity. This period of inactivity is configurable per client system.</p>					
PHI-4	The system must allow for full or partial search responses when searching. Please describe how the system meets this requirement.	X	X		
<p>Response:</p> <p>GL Suite meets this requirement. The core of the software system allows users to perform full or partial searches. GL Suite searching allows users to use wild cards to facilitate partial searching.</p>					
PHI-5	The system must use system generated complaint numbers. Complaint numbers must be unique to each individual complaint. They must never repeat and can be alpha, numeric or a combination. Please describe how the system meets these requirements.	X	X		
<p>Response:</p> <p>GL Solutions will meet this requirement. We will specify and configure GL Suite to produce unique generated complaint numbers. We will configure business rules which will, on creation of a complaint, assign a unique complaint number. Complaint numbers will be generated in sequential format, and will be used for searching for complaints within the system.</p>					
PHI-6	The system must include configurable logic or business rules on data entry that trigger customizable responses, distributions, alerts, work flows and or handling. Please describe how the system meets these requirements.	X	X		
<p>Response:</p> <p>GL Suite features a configurable business rules engine that supports validation and other tests to facilitate the review and approval of information in electronic forms.</p> <p>GL Suite can configure rules to automatically update the associated application requirement status to complete when the appropriate information has been collected. Additionally, if the DHHS has online application or renewal processes which do not require staff review and/or approval, rules can be configured to allow for fully automated processing without any manual intervention. All business rules are configurable and client development training is available on request.</p>					



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
PHI-7	The system must allow for extensive screen, form, field, widget, radio button and drop down list configurability. Please describe how the system meets these requirements.	X	X		
<p>Response:</p> <p>GL Suite meets this requirement. The core of the software system is highly configurable by any user with the appropriate permissions and configuration knowledge. GL Suite supports built in properties as well as the ability to create custom properties. Property types include text fields, integer fields, drop down menus, radio buttons, and check boxes. Drop down menus can also be configured to dynamically display based on data within the software system.</p>					
PHI-8	The system must perform duplicate checks on data entry. Please describe how the system meets this requirement.	X	X		
<p>Response:</p> <p>GL Solutions will meet this requirement. The beauty of the modern relational database concept is its ability to host all the relevant data, establish relationships between data elements with key fields, construct an efficient and effective table structure, and incorporate indices to enhance performance.</p> <p>GL Suite will eliminate redundant data by consolidating records and resolving overlapping data issues. For example, a client record might be linked to an education record, a registration, and a license. A change of address or status is only made in one place to keep all the program data up to date.</p> <p>Once the system is operational, GL Suite continues to ensure that duplicates are not entered in the system. Typically, paired search criteria (e.g. last name and DOB) are established to identify possible duplicates, a report is generated, and each case is researched. When the records are determined to be duplicates, a merge process is used to select one record as the survivor and merge the contents of the record being deleted.</p>					
PHI-9	The system must provide for user configurable (based on role) and automated correspondence. Please describe how the system meets these requirements.	X	X		





Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response: GL Suite can assist your agency with its administration by automatically creating and executing various correspondences.</p> <p>GL Suite provides the following capabilities:</p> <ul style="list-style-type: none"> <li>• Generate letters and notifications</li> <li>• Generate correspondences as emails or paper based</li> <li>• Send batches of correspondence</li> <li>• Generate a notice to licensees that a license cannot be renewed, etc.</li> <li>• Produce and store notices, subpoenas, and other documents merged with application data</li> </ul> <p>Correspondences dynamically display data in real time. GL Suite utilizes a parallel database system for speed and accuracy in report and correspondence generation. Our transactional database maintains all relational data and a parallel report database is maintained in real-time for any reporting needs.</p> <p>Our robust security allows agencies to restrict report access. This ensures that only appropriate users have access to sensitive information.</p> <p>Correspondences in GL Suite can be generated and printed one by one, from individual records or in batch mode. Using the batch mode users can run a command to find all records meeting predetermined criteria and append a customized correspondence to each identified record.</p> <p>GL Suite correspondence can be completely self-contained or designed to print on pre-printed stock. This allows agencies to print Wall Certificates, Registration Certificates, Board Notices, Wallet Cards, etc.</p> <p>GL Suite generates correspondences in Microsoft Word format. This enables users to view, edit, and/or save correspondences to the appropriate record for later reprinting or to send them to desired recipients.</p> <p>GL Suite tracks the print date for each correspondence. This enables GL Suite to locate correspondence that have not been printed and submit them for printing. This tool can also be used to export correspondences for printing by an outside vendor.</p>				



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
PHI-10	The system must include user configurable, automated work flow management for tasks (assignment, review, etc...). Please describe how the system meets these requirements.	X	X		



**Response:**

Using GL Suite’s Configuration Utility, your system can be configured to automate every step in agency processes from reviewing new applications, to license approvals, requirements tracking, generating notices, and managing and tracking complaints.

With GL Suite, processing license applications is efficient and highly automated. GL Suite tracks the overall application status, plus all related requirements, checklists, deadlines, fees, and so on using automated features. It also automatically prevents licenses from being issued until all requirements are met.

GL Suite’s automation of all your business processes ensures that your workflow follows a consistent path and no detail falls through the cracks.

**Increased Efficiency**

**One Screens**

GL Suite eliminates the need for redundant data entry with its One Screen feature. One Screens enable users to enter large quantities of data on a single screen. When the user inputs information, GL Suite automatically populates the data into the correct locations in the database and displays it, as usual, in the User Interface’s Navigation Tree.

This feature makes creating a record for a new individual simple and efficient. Without a One Screen, the user would be first required to create a record for the individual and then append separate name and address records. With a One Screen, the whole process is automated and enables users to enter all data in one place. GL Suite automatically creates a record for that individual from inputted information. One Screens can be created for any number of data-entry processes that regularly occupy licensing agency staff.

**Batch/Triggered Actions**

GL Suite allows for batch processing licenses, certificates, permits, form letters, notifications, and reports, all of which can be auto-filled with pertinent information. GL Suite also allows for batch upload of files to the system (for example, if your staff wants to scan and upload multiple license applications). It also allows for batch update of data.

GL Suite enables the scheduling, manual initiation, prioritization, and control of all batch processes. Any canned report or letter in your system can be printed or emailed in batches. Users can also create batches for printing or emailing based on user-defined parameters (e.g. data ranges, license statuses, application types, etc.). Before printing or emailing them, generated batches can be reviewed and manually modified by authorized users. Batches can be



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>generated manually or automatically and GL Suite can exclude notices, etc. from batch jobs based on any criteria you delineate (e.g. the previous submission of an application for review).</p> <p><b>Process Guides</b></p> <p>GL Suite incorporates Process Guides into every business process. A Process Guide is a guide that navigates the user through each step of the business process, integrated directly into the application. The steps are numbered, and clicking on a step will take the user directly to the screen where the action will be performed. Process Guides also indicate when a step is automated. Your progress through the process is identified by highlighting the step, to ensure you don't lose your place in a complex process.</p> <p><b>Dashboards</b></p> <p>GL Suite also provides dashboards that will alert staff of deadlines and assigned tasks. Each staff member can have a dashboard that appears on his or her screen upon log in. Dashboards can be assigned to a user, position type, and/or group. Tasks can be color-coded to inform users instantly of their status (e.g. currently due, past due, no due date). Moreover, records, individuals, tasks, and cases listed in the dashboard are hyperlinked directly to associated record. During the design process, GL Solutions will consult with your team to determine all of the dashboard functionality you desire.</p> <p><b>Flexibility</b></p> <p>GL Suite's Configuration utility enables your managers or administrators to quickly set up or modify all screens, menus, and business rules to reflect changes in your workflow. This flexibility ensures that your system continues to reflect your agencies workflow and to enhance your efficiency and effectiveness.</p>				
PHI-11	<p>The system must allow for user set, custom error message text. In the Investigations custom web site, DHHS staff do error message handle on each data entry field that a user might be entering. If it is a first name, DHHS staff does error handling for that. If it is a phone number, DHHS staff does different "custom" error handling for a phone number field. The error messaging on the page that a user sees also tells DHHS staff what field is in error.</p> <p>Please describe how the system meets this requirement.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:            GL Solutions will meet this requirement. We will specify and configure the self-service website to produce clear and concise error messages. When a user fails to enter data within a field or enters the incorrect data, we will configure GL Suite to produce a specific and clear error message for the error that is occurring. Error messages for public facing websites are configurable and will be reviewed within each web page specification prior to the development and configuration of the website.</p>				



## Attachment Three – Technical Requirements Traceability Matrix

### ATTACHMENT THREE Technical Requirements Traceability Matrix

#### Request for Proposal Number 6249 Z1

#### Bidder Name: GL Solutions

Bidders must describe in detail how the proposed system meets the conformance specification outlined within each Technical Requirement. It is not sufficient for the Bidder to simply state that it intends to meet the requirements of the RFP. The traceability matrix must indicate how the Bidder intends to comply with each requirement and the effort required to achieve that compliance.

The traceability matrix is used to document and track the project requirements from the proposal through testing to verify that the requirements have been met. The Contractor will be responsible for maintaining the contract set of Baseline Requirements. This traceability matrix will form one of the key artifacts required for testing and validation that each requirement has been complied with (i.e., 100% fulfilled).

The bidder must ensure that the original requirement identifier and requirement description are maintained from the traceability matrix.

How to complete the traceability matrix:

Column Description	Bidder Responsibility
Req #	The unique identifier for the requirement as assigned by DHHS, followed by the specific requirement number. This column is dictated by this RFP and must not be modified by the Bidder.
Requirement	The description of the requirement to which the Bidder must respond. This language is specified in the RFP and must not be modified by the Bidder.
(1) Comply	<p>Bidder must insert an "X" if the system complies with the requirement. Describe in the response how the system meets the requirement. If the system does not comply with the requirement, the Bidder must address the following:</p> <ol style="list-style-type: none"> <li>4. Capability does not currently exist in the system, but is planned in the near future (within the next few months)</li> <li>5. Capability not available, is not planned, or requires extensive source-code design and customization to be considered part of the Bidder's standard capability</li> <li>6. Capability requires an extensive integration effort of more than 500 hours</li> </ol>

(a) Core	Bidder must insert an "X" if the requirement is met by existing capabilities of the core system or with minor modifications or configuration to existing functionality.
(b) Custom	Bidder must insert an "X" if the Bidder proposes to custom develop the capability to meet this requirement. Indicate "custom" for those features that require substantial or "from the ground up" development efforts.
(c) 3rd Party	Bidder must insert an "X" if the Bidder proposed to meet this requirement using a 3rd party component or product (e.g., a COTS vendor or other 3rd party). The Bidder must describe the product, including product name, functionality, and benefits in the response.



## TECHNICAL REQUIREMENTS

The following requirements describe what is needed to support DHHS technical project operations.

Each requirement is identified by the following first three characters:

TEC	General Technical Requirements
STN	Standards Requirements
ERR	Error Handling Requirements
DBM	Database/Data Management Requirements
BKP	Backup and System Recovery Requirements
SEC	Security Requirements
DAC	Data Conversion Requirements
PTT	Production, Test and Training Requirements
INT	Interfaces/Imports/Exports Requirements
PER	System Performance Requirements
DOC	System and User Documentation

### General Technical Requirements

This section presents the overall technical requirements that apply to the software. Describe in the response how the system meets the requirement.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
TEC-1	<p>Provide a description and diagram of the technical architecture. Include all database/web/networking hardware, software, tools, etc. Indicate where the system is hosted. Indicate if any components are needed on the client and/or loaded on servers, etc. Solution will only be server/cloud technology in nature.</p> <p>DHHS envisions one domain to be hosted for all applications.</p> <p>Currently, online renewal applications for individuals and businesses subject to the Uniform Credentialing Act are handled by System Automation.</p> <p>Online initial applications for Nursing and online renewal applications for Long-Term Care are submitted via Nebraska Interactive.</p>	X	X		





**Response:**

GL Suite is a browser-based application designed to function on any device that uses one of the major web browsers in use today, such as Google Chrome, Firefox, Safari, and Internet Explorer/Edge.

GL Suite employs an n-tiered architecture that separates presentation, business logic, and data access into logically distinct components, which can be optionally deployed to physically separate tiers. This configuration provides significant architectural flexibility, including scalability to support future growth, the option to select different platforms to meet potential changes in technology standards and directions, and insurance against technological obsolescence. A key benefit of n-tiered architecture is the isolation of roles and responsibilities within the application. Utilizing this architecture's object-oriented design principles, we can extend or enhance the system with minimal risk of damaging working components that can often benefit from new service components.

N-tier architectures provide several benefits:

- Increased flexibility – ability to swap out or upgrade components within a layer with ease, and
- Increased scalability – components in each tier may be added to increase capacity, and
- Increased security – allows physical separation of tiers into sub-networks enabling specific tiers to be isolated behind different firewalls. This creates a robust defense against SQL injection and other common attack scenarios.

Our n-tiered architecture is server-centric. Web browsers (the Client tier) communicate with the server components through Hypertext Transfer Protocol Secure Sockets (HTTPS—secured sockets layer [SSL] for encryption support). The environment consists of three logical server tiers—Presentation, Business, and Database. The following paragraphs describe our multi-tiered approach.

### **Client Tier**

GL Suite's Client tier consists of web pages securely displayed by a web browser. This browser-based architecture provides maximum flexibility and requires no client software distribution. It also minimizes the impact on the network as compared with client-centric models. GL Suite's Client tier is only responsible for rendering HTML and JavaScript (both web-browser standards) as Ajax. The Client tier's only responsibility is to send user requests to the Presentation tier and display user request results. As a result, end users can click around in their browsers without having to



send data back and forth to the server as often as they would without the Ajax. This translates into a superior user experience because responses to clicks are immediate.

Technologies used in this tier support any compliant web browser. We developed our web-browser interface according to the Internet Explorer standard. It is also compatible with most browsers currently in use including, but not limited to, Firefox, Chrome, and Safari. Moreover, to ensure that our software remains highly compatible, we monitor public usage statistics 1-2 times a year. To facilitate advanced browser-independent UI features—such as dynamic dependent select lists, real-time data validations and computations—GL Suite employs a combination of Web 2.0 technologies, specifically Ajax, which include ECMAScript (a.k.a. Jscript or Java Script) and JQuery.

### **Presentation Tier**

GL Suite’s Presentation tier is responsible for presentation services including page navigation, session management, and transaction request management. In GL Suite, the web server provides only a User Interface layer UI, which hands off user requests from the Client tier to the Business tier.

The application server is responsible for processing requests. These requests are expressed in standard ASP.NET to provide well-articulated control structures and flexible User Interface layout management. The results of the completed request are passed back to the Client tier for rendering. The ASP.NET pages are served as HTML through HTTPS.

GL Suite does not process business logic from the Presentation tier. It delegates the implementation of business rules entirely to our Business tier with our Data Rule Queue. The Data Rule Queue acts as the “traffic cop” that executes the business rules that have been triggered by a user request.

Our Presentation tier works with the Business tier to provide a customizable User Interface. The presentation is a configuration of GL Suite; it is not determined by the ASP.NET application. We have only one ASP page—everything comes from the ASP page from the Business tier and tells the Presentation tier what to present.



The Presentation tier is completely configurable by the client. Every user in an agency can see a different User Interface, customized just for them. Clients can also add custom components to the User Interface that they can configure by themselves. GL Suite includes a number of User Interface components—such as calendars and charts—that clients can customize into their User Interface.

Technologies used in this tier include IIS7 application server and .NET Framework 4.0.

### **Business Tier**

The Business tier maintains the business logic and core application processes of GL Suite. GL Suite adheres to a true n-tiered architecture and was built using a service-oriented architecture (SOA). The Business tier is responsible for processing requests by invoking the appropriate business rules. The Business tier is a persistent layer provided through a Web Service.

The Web Service architecture enables a separate physical deployment of the Business tier with separate load balancing. The Business tier, in turn, accesses data through another tier that is kept completely separate.

GL Suite uses .NET and IIS7 to support a widely accepted application platform. Some .NET and IIS7 standards used by the GL Suite application include POP3 support and eXtensible Markup Language (XML) for transaction data formatting. We also support the open, non-proprietary XPath, SQL, and SOAP standards.

Our SOA has the advantage of HTTP only, so there are a limited number of ports opened through firewalls for the servers that support our various layers. We use XML messages as the format for messages between the Presentation, Business, and Database tiers.

### **Database Tier**

The Database tier is responsible for the persistence of data. The Database tier performs the data storage functions and transactional updates to data and is implemented using industry-leading relational database management systems (RDBMS). The Database tier uses .NET data providers to access SQL Server. This is Microsoft's preferred technology for accessing SQL Server.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>The GL Suite application components access the RDBMS using best practices for MS SQL Server security. We use a third party to test and certify our site and application against SQL injection attacks. Notably, our Database tier is the only access point to SQL Server; therefore, SQL Server can be physically isolated from the Business and Presentation tiers. This is an ideal feature for security.</p>				
TEC-2	Describe how the system is responsive to mobile technology and works with mobile devices such as smart phones or tablets.	X	X		
Response:	<p>GL Suite was designed to function on any device using an internet connection and one of the major web browsers in use today. This includes mobile devices such as smart phones or tablets. GL Suite will function on any mobile device that contains a web browser and an internet connection. In addition, we design all public-facing web pages to be mobile compatible and responsive to screen size and resolution.</p>				
TEC-3	Describe any third party components that are proposed as part of the system, i.e. using Crystal Reports as a reporting tool.	X	X		
Response:	<p>GL Suite software depends upon numerous third-party solutions, including the Microsoft Windows OS, Microsoft Office, Microsoft IIS, Telerik user controls, doForms, Inc. interfaces and mobile apps, Abbyy Fine Reader or the equivalent for OCR, Microsoft .Net Framework, and various browser software.</p>				
TEC-4	Describe how the system is designed so that business rule parameters and code lookup tables can be easily updated without changing the overall application program logic.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Solutions' licensing software, GL Suite, is unique in that it consists of a core system and related web-based interfaces (maintained by GL Solutions) and a modifiable Control Panel that allows on-the-fly customization of every screen and field by authorized users. Both developers and clients can easily modify the Control Panel to address business process changes and new legislative requirements.</p> <p>All GL Solutions programming code (base core code for your system and web software code) is managed through code versioning software, Visual Source Safe. Visual Source Safe requires code to be checked out/in, which ensures that only one person can modify the code at any given time. When checking the code in, the Developer must enter the reason/s for the changes in a "Comments" field. As part of the software release process, GL Solutions Quality Assurance team verifies that all expected updates are contained in the release.</p> <p>Since the Control Panel allows immediate update by both clients and developers, no formal method of configuration change management is available. This makes it imperative that only knowledgeable users be given authority to make changes to the system. Internally, at GL Solutions, any changes made to the configurable screens or business rules are documented through an update of the Business Specifications document, and are tracked through the software development process in the task management system.</p>				
TEC-5	Describe the upgrade and maintenance process for the system. Downtime and impact to the users must be minimized.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
Response:	<p>GL Solutions handles software change management for the core database/website and for the Configuration Manager in different ways.</p> <p>In the case of core code and public website updates, we create software releases containing a specific set of updates. We assign each update release a unique release number before transferring it to the client environment. We notify your team about updates in advance and provide a set of “Release Notes” prepared by GL Solutions’ Quality Assurance team, which lists the updates contained in the release.</p> <p>Since the core system code is a mature, stable software product, changes to the database structure and core code are rarely required. If modifications must be made to the core code or public websites, we will need to bring down your system application to deploy the code release. When system downtime is necessary, we will schedule it after business hours whenever possible and we will notify your team.</p> <p>In the case of Control Panel updates, GL Solutions’ Development team completes issue and/or enhancement tasks, copies a new version of the updated component from our development environment and delivers it to the appropriate test environment, as needed. In most cases, release of Control Panel updates will not require any client downtime; however, if system downtime is required, we will schedule it after business hours to reduce the impact on system users. We will notify your project team in advance and provide “Release Notes” prepared by our Quality Assurance team, which will list the updates included in the release.</p>				

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
TEC-6	Describe any impact on customizations made to the system for upgrades and maintenance processes. Downtime and impact to the users must be minimized.	X	X		
<p>Response:</p> <p>For configuration updates to the GL Suite software system, no down time is required. Configuration updates are deployed seamlessly in real time and take effect immediately upon deployment. Core code updates are performed on a regular basis as needed, which are pushed to our clients as new builds. Core code updates can result in required downtime, however these updates are scheduled after-hours and in coordination with our clients. Downtime is typically no longer than 5 minutes.</p>					
TEC-7	Describe any redundancy built into the system to limit any downtime.	X	X		
<p>Response:</p> <p>GL Suite uses redundancy built into the system to limit any downtime. Data connectivity redundancy is achieved via multiple Tier 1 telecom companies that provide low latency backhaul, via multiple diverse data paths for complete N+1 redundancy.</p> <p>GL Solutions utilizes load balancing. Load balancing distributes workloads across multiple computing resources or servers to optimize resource use, maximize throughput, minimize response time, and avoid resource overload. It also provides redundancy to increase reliability and application uptime.</p>					
TEC-8	Describe how the system has the ability to share data securely, including importing and exporting of data to/from other application software tools, such as a Microsoft Excel file, XML, comma separated value (csv) file, etc.	X	X		



**Response:**

GL Solutions regularly creates custom interfaces, which allow for all manner of data exchange between our clients and third parties. GL Suite is capable of interfacing with any system that provides a well-documented API.

We build interfaces to support online credit card payments, criminal record checks, information updates, exam scheduling/scoring/administration, and more. Custom interfaces can provide nearly real-time or delayed transactions (whichever you choose).

GL Solutions uses various methods of integration to create customized third-party interfaces:

- GL Suite integrates with other applications and exchanges transactional data using XML, other .Net Web Services (SOAP calls), and DTS packages as long as a documented API is available. XML is the most common method used by web services technology. If the legacy application does not write to XML files, GL Suite will import data from any Open Database Connectivity (ODBC) compatible data source, including database or text files. The legacy application must write to the ODBC compliant source; GL Solutions will import the data and translate the data to an XML document. Finally, GL Solutions will submit the document via a SOAP call to GL Suite's web interface and write responses to the ODBC data source. To integrate GL Suite with other applications, GL Solutions Agency Specialists gather and document information about the business requirements underlying the integration request. Once documented, a Business Analyst writes a technical specification that describes the interface between GL Suite and the third party application.
- Business requirements that merely call a third-party application but do not exchange transactional data can be instantiated by configuring simple business rules using the Configuration Manager. For example, GL Suite supports adding a menu item or button to a particular interface that instantiates a third-party application and submits record information, such as the certificate/license number of the individual who accessed the function.
- For integration in which data flows from a third-party application to GL Suite and latency is not an issue, GL Solutions will work with the third-party application vendor to export data to a text file or database format on a regular schedule. GL Suite will monitor the folder destination of the export or the database table for changes. When a change is detected, GL Suite activates a custom application written by GL Solutions, which takes the third-party information, requests the corresponding GL Suite XML file representing the licensee or



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>other record modified from the business tier, and modifies the XML file based on the imported information. The modified XML file is then resubmitted to the business tier where business rules are applied and ultimately submitted to the data tier to update the RDBMS.</p> <ul style="list-style-type: none"> <li>For integration where data flows from GL Suite to a third-party application and latency is an issue, GL Solutions builds custom export programs. The export programs store data from the data warehouse in a format specified by the third-party application. The third-party application must provide either an API to activate the upload of the information or a self-contained mechanism for uploading the file.</li> </ul>				
TEC-9	Describe how the system has the ability to archive data and documents per the DHHS' required record retention schedules, which provides different retention periods for different document types. Describe the method and ability to adjust to changes in the retention schedule.	X	X		
<p>Response:</p> <p>GL Suite is designed to retain all historical data in perpetuity unless otherwise specified. If desired, GL Solutions can configure business rules which will automatically archive data and documents per specified criteria. Our standard practices are to record the date that a document or data is recorded into the software system. We can configure business rules which will automatically archive data based on the date that the data or document was created. In addition, we can configure business rules for different document or data types to accommodate varying retention periods. Changes to the retention schedule can be accomplished by updating the business rules which manage the retention of the specific document type. Business rule updates can be pushed seamlessly to the Production environment without any downtime.</p>					
TEC-10	Describe how the system has the ability to provide audit information on all data accessed or changed within the system.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:</p> <p>GL Suite tracks all information and supporting records related to an entity (such as individuals, businesses, buildings, items, exams, and transactions) and organizes the information into a customizable Navigation Tree. It also tracks the associations between entities. For example, accountants and accounting firms are tracked as separate entities, but GL Suite also allows you to track bi-directionally which accountants work at which accounting firms. It will also track the history of these relationships and will enable you to see every firm that an accountant has worked with and/or all accountants who have ever worked for a specific firm.</p> <p>GL Suite will enable your agency to track every notification, task, correspondence, meeting, complaint, and any other information and supporting records related to an entity with ease. GL Suite saves the final version (as well as any modifications) of each correspondence with its related record for future use, referencing, or reprinting. GL Suite maintains historical information in perpetuity, so any type of correspondence can be easily retrieved, tracked, audited, and/or re-sent at any time.</p>					
TEC-11	Describe how the system allows multiple users to use the software applications and database concurrently.	X	X		
<p>Response:</p> <p>GL Suite allows multiple users to use the software application and database concurrently. GL Suite is the user interface that allows users to access data within the database. Multiple users will have the ability to sign in using their own unique login information. Elements of the application may be used concurrently, including multiple users viewing a single record, however only one user will have the ability to update a record at a time.</p>					
TEC-12	Describe how the system is scalable and flexible enough to accommodate any changes required by the DHHS, or by any federal statute, federal mandate, federal decision or federal policy.	X	X		



**Response:**

GL Solutions' licensing software, GL Suite, is unique in that it consists of a core system and related web-based interfaces (maintained by GL Solutions) and a modifiable Control Panel that allows on-the-fly customization of every screen and field by authorized users. Both developers and clients can easily modify the Control Panel to address business process changes and new legislative requirements.

All GL Solutions programming code (base core code for your system and web software code) is managed through code versioning software, Visual Source Safe. Visual Source Safe requires code to be checked out/in, which ensures that only one person can modify the code at any given time. When checking the code in, the Developer must enter the reason/s for the changes in a "Comments" field. As part of the software release process, GL Solutions Quality Assurance team verifies that all expected updates are contained in the release.

Since the Control Panel allows immediate update by both clients and developers, no formal method of configuration change management is available. This makes it imperative that only knowledgeable users be given authority to make changes to the system. Internally, at GL Solutions, any changes made to the configurable screens or business rules are documented through an update of the Business Specifications document, and are tracked through the software development process in the task management system.

**Release Management**

GL Solutions handles software change management for the core database/website and for the Configuration Manager in different ways.

In the case of core code and public website updates, we create software releases containing a specific set of updates. We assign each update release a unique release number before transferring it to the client environment. We notify your team about updates in advance and provide a set of "Release Notes" prepared by GL Solutions' Quality Assurance team, which lists the updates contained in the release.

Since the core system code is a mature, stable software product, changes to the database structure and core code are rarely required. If modifications must be made to the core code or public websites, we will need to bring down your system application to deploy the code release. When system downtime is necessary, we will schedule it after business hours whenever possible and we will notify your team.



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>In the case of Control Panel updates, GL Solutions’ Development team completes issue and/or enhancement tasks, copies a new version of the updated component from our development environment and delivers it to the appropriate test environment, as needed. In most cases, release of Control Panel updates will not require any client downtime; however, if system downtime is required, we will schedule it after business hours to reduce the impact on system users. We will notify your project team in advance and provide “Release Notes” prepared by our Quality Assurance team, which will list the updates included in the release.</p>				
TEC-13	Describe how the system is able to scan, attach, and store different document types (pictures, documents, PDF file, etc.) within the system.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Suite reduces your administrative load by eliminating the need to file, retrieve, copy, route, and re-file paper documents. It enables your staff to capture, manage, and share documents electronically, which saves you money and time, increases productivity, and leaves you with more time to serve your public. It will also help you streamline your services by enabling licensees and the public to submit documents and documentation electronically with their online applications or complaints.</p> <p>GL Suite offers powerful document management capabilities. It allows any type of document to be uploaded and stored with a record. Documents that might be uploaded and stored include original applications, correspondence, support documentation (such as a photo of the applicant or a fingerprint card), scans of past records, and scans of certificates. GL Suite will accept virtually any file format including Adobe PDF files, text documents of any format, scanned records in any standard format, Microsoft Office, and even audio/video files.</p> <p>When agency users upload documents into GL Suite, it will auto-set the requirement(s) fulfilled by the uploaded document to <i>Complete</i> and auto-populate the document record with any other information you require, including when the document was received, when it was uploaded, and by whom.</p> <p>GL Suite automatically links uploaded documents to the record with which they are associated, making them accessible to authorized staff immediately or at any time in the future. Clicking the hyperlink will take the user directly to the document. With GL Suite, authorized users can retrieve and re-send uploaded documents as needed, and only authorized users can delete or re-index them. GL Suite’s security determines who can and cannot access these documents and what permissions they have, just as it controls who has access to the record itself.</p>				
TEC-14	Describe how the system has the ability to generate reports and ad hoc queries without performance impact to user access or system response time.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:</p> <p>GL Suite replicates all data recorded into the software system into a report database, which provides a structured database designed specifically to index data for reporting purposes. The report database maintains data in real time, ensuring data is synchronized between the databases as data is entered into the application and through regularly scheduled jobs. Reports and ad-hoc queries will be run against the report database, which will allow the operations to be performed without impacting the main database.</p>					
TEC-15	Describe the help desk operations and support that will be provided with the system.	X	X		
<p>Response:</p> <p>Your agency will have access to a GL Solutions technical representative 24 hours a day, 7 days a week to resolve critical issues. Our Emergency Support Team can be reached at any time via a toll-free telephone number. Our team of experts is experienced in providing support and will respond immediately to your call. GL Solutions does not outsource its customer support—all GL Solutions support is provided by full-time, in-house GL Solutions staff.</p> <p>Enhancements and issues that are normal priority are handled effectively and efficiently as well. We will also work with clients to prioritize the order in which they prefer tasks to be addressed. Overall, we make every effort to keep your tracking and response time to a minimum.</p> <p>For ongoing support, you will be able to rely on our Agency Partners (AP), who will be available via both telephone and email. The sole concern of the Agency Partner is to provide your staff with timely interaction. The GL Solutions AP will be at hand to take action on and resolve issues as they arise, monitors issues, coordinates regular service release installations, and tracks client calendars to help them prepare for renewals and other critical processes. APs are dedicated to fulfilling your agency’s goals and objectives and to ensuring that your mission statement is sustained and fulfilled.</p>					



## Standards Requirements

DHHS currently operates its computer system in compliance with many technology and operational standards. These standards originate from internal development, industry best practices and governmental mandates. The Bidder must describe how all applications operate in compliance with these standards and practices.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
STN-1	If web-based system applications are required, describe what industry standard browsers are supported by the system. If the system requires additional components, describe the technical details of those components.	X	X		
<p>Response:</p> <p>GL Suite is a browser based application that can run on any device that contains a web browser. GL Suite was designed to be compatible with the top web browsers in use today, including Google Chrome, Firefox, Safari, and IE/Edge.</p>					
STN-2	The system must store data in federally compliant data centers residing within the continental United States of America.	X	X		
<p>Response:</p> <p>GL Solutions hosting center is FedRamp certified; the Federal Risk and Authorization Management Program (FedRAMP) is a government-wide program that provides a standardized approach to security assessment, authorization and continuous monitoring for cloud products and services.</p> <p>GL Solutions' data center resides within the continental United States of America.</p>					
STN-3	All data is the property of DHHS, and DHHS will retain the exclusive rights of use now and in perpetuity.	X	X		
<p>Response:</p> <p>GL Solutions agrees to this requirement. All DHHS data imported/converted and recorded into the GL Suite software system will remain exclusively the property of the DHHS.</p>					
STN-4	The system must comply with accessibility requirements described in 45 CFR 85 and with State of Nebraska accessibility requirements located at: <a href="https://nitc.nebraska.gov/standards/2-101.pdf">https://nitc.nebraska.gov/standards/2-101.pdf</a> .	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Solutions has a strong public sector presence, and we understand the value of meeting Federal, State, and Local requirements for equal technology access. Both the public-facing and the back-office facing components of GL Suite adhere to current design principles and accessibility standards that enable people with disabilities to use it.</p> <p>GL Solutions Our software follows the ARIA (Accessibility for Rich Internet Applications) standard to make sure that assistive technology can work well with rich Internet applications (RIAs).</p>				
STN-5	<p>The system must comply with the sub-parts of Section 508 of the Americans with Disabilities Act (ADA), and any other applicable State or federal disability legislation. Refer to <a href="http://www.ada.gov/508/">http://www.ada.gov/508/</a>.</p>	X	X		
	<p>Response:</p> <p>GL Solutions has a strong public sector presence, and we understand the value of meeting Federal, State, and Local requirements for equal technology access. Both the public-facing and the back-office facing components of GL Suite adhere to current design principles and accessibility standards that enable people with disabilities to use it.</p> <p>GL Solutions Our software follows the ARIA (Accessibility for Rich Internet Applications) standard to make sure that assistive technology can work well with rich Internet applications (RIAs).</p>				
STN-6	<p>Describe how the system complies with digital signature requirements described in the Nebraska Digital Signatures Act, and all other applicable legal requirements in Nebraska for digital signatures. Refer to <a href="http://www.sos.ne.gov/rules-and-regs/regsearch/Rules/Secretary_of_State/Title-437.pdf">http://www.sos.ne.gov/rules-and-regs/regsearch/Rules/Secretary_of_State/Title-437.pdf</a> for definition and standards in Nebraska.</p>	X	X		





Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions uses cryptography to support a variety of security solutions, including the provision of digital signatures. GL Solutions' Information Protection Policy specifies for encryption in transit related to confidential information and personally identifying information that data transmitted to and from the application will utilize HTTPS / TLS 1.2. GL Solutions Media Protection Policy details requirements for media storage. Those requirements include: all laptops that are used to conduct company business shall use Full Disk Encryption (FDE) using a FIPS 140-2 Level 1 certified AES-256 encryption algorithm to protect all information stored on the laptop's storage device. In addition, all other mobile computing devices and portable computing devices such as smart phones, tablets and portable storage devices, such as compact disks (CDs), digital video disks (DVDs), media players (MP3 players) and flash drives used to conduct company business, shall use a FIPS 140-2 Level 1 certified encryption algorithm of at least a 128bit strength to protect all confidential or PII data from unauthorized disclosure.</p>					
STN-7	The system must comply with all HIPAA and other statutory, regulatory, and policy requirements for protected health information. Refer to <a href="http://dhhs.ne.gov/ITSecurity">http://dhhs.ne.gov/ITSecurity</a> .	X	X		
<p>Response: GL Solutions meets this requirement. Our standard practices are to strive for compliance with common IT security standards including HIPAA, NIST-800-53, and PCI-DSS.</p>					
STN-8	If the system requires client software to be installed, describe how the system ensures that all software used for the system can be distributed, installed and configured in an unattended "silent" manner.	X	X		
<p>Response: GL Suite is a browser-based application and only requires a web browser with an internet connection to access the application.</p>					
STN-9	Current DHHS policies prevent users from making administrative changes and downloading software locally to their PC. Describe how the system supports this policy.	X	X		
<p>Response: GL Suite is a browser-based application and requires no download of software to local PCs.</p>					
STN-10	Current DHHS policies recommend not storing any data locally in the event that a user's desktop PC needs to be reimaged (which deletes locally stored data). Describe how the system supports this policy.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Suite is a browser-based application and utilizes a user-interface to access data. All data is stored remotely within a proprietary database.</p>					
STN-11	Describe the report design tools and output formats.	X	X		
<p>Response: Compatible software packages used to create reports, templates correspondence etc. include: Reports:</p> <ul style="list-style-type: none"> <li>• Crystal Reports</li> <li>• SSRS</li> <li>• Power BI</li> </ul> <p>Correspondence:</p> <ul style="list-style-type: none"> <li>• Microsoft Word</li> </ul>					
STN-12	Describe how the system maintains licensed software, including all third-party software, no more than two supported versions behind the latest release, and updated with latest security patches.	X	X		
<p>Response: GL Solutions supports the last two versions of GL Suite software. Installation of new versions/updates is not mandatory, unless GL Solutions has discontinued support of an older version of the software. We perform one major software upgrade approximately every three years, as well as intermediate patches as needed, to ensure that your GL Suite system perpetually adheres to industry-standard quality, security and service level compliance. Some maintenance may require brief system outages. We always plan well-in-advance, work with you to identify an agreeable timeframe, and take every measure possible to keep downtime to a minimum. GL Solutions stays apprised of the latest security standards and performs upgrades as needed to keep the system as secure as possible.</p>					



### Error Handling Requirements

The management of the system requires that all occurrences of errors be logged for review and that critical errors be accompanied by appropriate alerts. Authorized users need to be able to query and review the error log and configure the alerts.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ERR-1	Describe the error handling functionality.	X	X		
<p>Response:            GL Solutions outlines error handling as part of the Application Development Standards. GL Solutions requires that the application must handle logon errors as follows: generate error messages that provide the information necessary for corrective actions without revealing information; examples include erroneous logon attempts with passwords entered by mistake as the username, mission/business information that can be derived from (if not stated explicitly by) information recorded, and personal information, such as account numbers, social security numbers, and credit card numbers that could be exploited by adversaries; reveal error messages only to application administrators.</p>					
ERR-2	Describe how the system provides a comprehensive set of edits at the point of data entry to minimize data errors and provide immediate feedback in order for incorrect data to be corrected before further processing (e.g., spell check, zip codes, etc.).	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Suite ensures data integrity both by system design and by rule configuration. GL Suite’s database structure is static—neither GL Solutions nor our clients modify core database tables. This fact in itself assures high-level data integrity.</p> <p>Data integrity is also maintained during data entry. Data validation and error detection are regular GL Suite capabilities and are available on both the public-facing web interface and the back-office interface. For one, whenever feasible, we can create dropdown menus with pre-selected text for users to select. This ensures that data entered is appropriate and correctly inputted from the beginning. Additionally, GL Suite has a standard set of verification rules, such as for phone numbers, dates, and Social Security numbers. The system prevents invalid data entries, such as entering an invalid date in a Date field, by various means. First, we designed GL Suite’s core code to prevent users from entering and saving invalid dates to the database. Second, we have configured rules that reformat dates entered in diverse formats to be consistent. If the date entered is invalid, the system will prompt the user with an alert and prevent the data from entering the database. This is important because it allows for consistent and accurate data mining/reporting.</p> <p>GL Suite can ensure that the inputted city and state match the zip code and that addresses entered are only from a particular state. We can configure every property to be either required or optional, and each can have its own set of validation rules. At each step, users can be restricted from continuing if information is missing or improperly entered. We can create any sort of verification rules necessary for your system’s efficiency and accuracy.</p> <p>GL Suite can also be configured to return a variety of messages to assist users when data entered is incomplete or incorrect. GL Suite validates that data has been entered correctly upon Save. If data is entered incorrectly or insufficiently, upon Save GL Suite will present prompts according to business rules logic. For example, if business rules require that a staff member be assigned to each application and a staff member is not assigned, GL Suite will notify the user.</p>				
ERR-3	Describe how the system ensures all errors are written and categorized to an error log. Describe how the system allows for a user to view, filter, sort, and search the error log.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:            GL Suite provides an error log for errors that occur within the application. Administrative users will have access to the log to view the status of any errors that occur. The error log is located in the Control Panel and will be accessible to Administrative users with the appropriate permissions.</p>					
ERR-4	Describe how the system allows for user-defined alerts of errors, including those to external communication mechanisms (e.g., e-mail and text messaging).	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Suite offers alert capabilities that can be customized to suit your needs. GL Suite can display any number of alerts at any time, each having its own information and business rules defined by your agency’s needs. GL Suite can display a list of alerts for internal users in each section or department of your agency as soon as a user logs in, and each can have unique alert types, information, timing, and more. Alerts can automatically be added to a user’s Home Screen view, included in reports, and/or included in an e-mail alert to identified staff members.</p> <p>GL Suite offers significant alert capabilities that can be customized to suit your needs.</p> <ul style="list-style-type: none"> <li>• Alerts can be triggered based on any user defined criteria (e.g. status, due date, priority)</li> <li>• Alerts operate in real time</li> <li>• GL Suite can display any number of alerts at any time, each having its own information and business rules defined by your needs</li> <li>• GL Suite can display a list of alerts for internal users in each section or department of your agency as soon as users log in, and each can have unique alert types, information, timing, and more</li> <li>• Alerts can be automated or manual</li> <li>• Alerts can be generated on a case-by-case basis or in batches</li> <li>• Alerts can be delivered as emails, paper notifications, warning messages, or in dashboards</li> <li>• GL Suite can return a variety of alert messages to assist users when data entered is incomplete, incorrect, etc.</li> </ul> <p>GL Suite can maintain a library of letter templates that have been customized for your agency’s needs. GL Suite templates are designed to populate letters automatically with specified information from a record. Letters created from templates can be printed, emailed, or saved to a record as Adobe PDF, Microsoft Excel, or Microsoft Word files. Once a form letter has been created, users can also manually modify or add to its contents.</p> <p>GL Suite saves the final version (as well as any modifications) of each correspondence with the record it is related to for future use, referencing, or reprinting. GL Suite maintains historical information in perpetuity, so any type of correspondence can be easily retrieved, tracked, audited, and/or re-sent at any time.</p>				



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
ERR-5	Describe how the system provides for the generation of standard and customizable error reports.	X	X		
<p>Response:</p> <p>GL Suite is capable of producing reports on any data elements within the software system. We will configure standardized error reports to report on any errors the GL Suite software system encounters.</p>					
ERR-6	Describe how the system includes a comprehensive list of error messages with unique message identifiers.	X	X		
<p>Response:</p> <p>GL Suite is a highly configurable software system, and as such error messages are configurable. GL Solutions can create customized error messages when specified errors are encountered.</p>					
ERR-7	Describe how the system displays errors to the user/operator in real-time whenever an error is encountered.	X	X		
<p>Response:</p> <p>When an error message is displayed within GL Suite, a red or yellow bar that contains the error message will be displayed at the top of the screen. If the error is related to a property/field on the screen, the field will be highlighted red and the error message will display text explaining the error that occurred or the formatting error. Error messages are configurable and can be configured to display customized text for any error that is encountered.</p>					
ERR-8	Describe how the system has the ability to suppress error messages based upon user-defined criteria.	X	X		
<p>Response:</p> <p>GL Suite is capable of suppressing error messages for specified roles. If an error message or validation is configured to occur on a screen, this can be configured to be bypassed if the user is within a specified user group.</p>					



**Database/Data Management Requirements**

DHHS requires the benefits inherent with a relational database management system (RDBMS). The accessibility, flexibility and maintainability achieved through normalized data structures are essential to achieving the business objectives outlined in this RFP.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
DBM-1	Describe the database architecture, including the database software that is supported by the system.	X	X		



**Response:**

GL Suite employs an n-tiered architecture that separates presentation, business logic, and data access into logically distinct components, which optionally can be deployed to physically separate tiers. This configuration provides significant architectural flexibility, including scalability to support future growth, the option to select different platforms to meet potential changes in technology standards and directions, and insurance against technological obsolescence. A key benefit of n-tiered architecture is the isolation of roles and responsibilities within the application. Utilizing this architecture's object-oriented design principles, we can extend or enhance the system with minimal risk of damaging working components that can often benefit from new service components without modification.

N-tier architectures provide several benefits:

- Increased flexibility – ability to swap out or upgrade components within a layer with ease
- Increased scalability – components in each tier may be added to increase capacity
- Increased security – allows physical separation of tiers into sub-networks enabling specific tiers to be isolated behind different firewalls. This creates a robust defense against SQL injection and other common attack scenarios.

Our n-tiered architecture is server-centric. Web browsers (the Client tier) communicate with the server components through Hypertext Transfer Protocol Secure Sockets (HTTPS—secured sockets layer [SSL] for encryption support). The environment consists of three logical server tiers—Presentation, Business, and Database. The following paragraphs describe our multi-tiered approach.

**Database Tier**

The Database tier is responsible for the persistence of data. The Database tier performs the data storage functions and transactional updates to data and is implemented using industry-leading relational database management systems (RDBMS). The Database tier uses .NET data providers to access SQL Server. This is Microsoft's preferred technology for accessing SQL Server.

The GL Suite application components access the RDBMS using best practices for MS SQL Server security. We use a third party to test and certify our site and application against SQL injection attacks. Notably, our Database tier is the only access point to SQL Server; therefore, SQL Server can be physically isolated from the Business and Presentation tiers. This is an ideal feature for security.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
DBM-2	Describe how the system allows changes to be made available immediately on-line.	X	X		
<p>Response:</p> <p>GL Suite’s public facing web pages display data from the database in real-time. Any update that occurs to data within the database will be immediately reflected on any public facing web pages once the page is reached or refreshed upon the update.</p>					
DBM-3	Describe how the system facilitates data structure changes to accommodate expanding scope, new services, changing requirements and legislative mandates.	X	X		
<p>Response:</p> <p>GL Suite facilitates data structure changes to accommodate expanding scope, new services, changing requirements and legislative mandates. GL Solutions’ licensing software, GL Suite, is unique in that it consists of a core system and related web-based interfaces (maintained by GL Solutions) and a modifiable Control Panel that allows on-the-fly customization of every screen and field by authorized users. Both developers and clients can easily modify the Control Panel to address business process changes and new legislative requirements.</p>					
DBM-4	Describe the standard software development life cycle (SDLC) for deploying software. Describe the process for planning, creating, testing and deploying the system.	X	X		
<p>Response:</p> <p>GL Solutions has extensive experience and expertise implementing projects that use the Software Development Life Cycle (SDLC) to plan, create, test, and deploy an agency’s licensing system. GL Solutions has clear and distinct definitions for each work phase to be used by our Agency Partners, Agency Specialists, Business Analysts, Developers, Configuration Specialists, and Quality Assurance Specialists. The aim of each defined role in the system, whether that be planning/requirements gathering, analysis (high-level architecture review), design (detailed specification building), implementation (development, configuration, testing), or maintenance (upgrades, enhancements, fixing defects, etc.) is to deliver a high-quality system that will exceed customer expectations and move forward through each phase of the project to meet client requirements within the scheduled timeframe.</p>					
DBM-5	Describe how the system provides the flexibility to extract and load data into standard non-proprietary software formats.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Suite provides the ability to extract data in multiple methods.</p> <p>One method is using on-screen queries. On-screen queries can be configured to provide data displayed in specified rows, organizing the data in any format desired. In addition, GLS Report can facilitate the creation of ad-hoc queries and reports on any data element within the system. The query results can be exported in both PDF format and Excel format. Excel is ideal for exporting data in a format that can be manipulated.</p> <p>Another method of data extraction is through a data-exchange interface. Interfaces are ideal for extracting data from the system to be sent to another third-party system. The advantage of interfaces is the ability to provide data extractions in a standardized format which can be used in another database or software system.</p>					
DBM-6	Describe how the system maintains an automated history of all transactions, including, but not limited to: date and time of change, "before" and "after" data field contents, and operator identifier or source of the update.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:</p> <p>GL Suite tracks all information and supporting records related to an entity (such as individuals, businesses, buildings, items, exams, and transactions) and organizes the information into a customizable Navigation Tree. It also tracks the associations between entities. For example, accountants and accounting firms are tracked as separate entities, but GL Suite also allows you to track bi-directionally which accountants work at which accounting firms. It will also track the history of these relationships and will enable you to see every firm that an accountant has worked with and/or all accountants who have ever worked for a specific firm.</p> <p>GL Suite will enable your agency to track every notification, task, correspondence, meeting, complaint, and any other information and supporting records related to an entity with ease. GL Suite saves the final version (as well as any modifications) of each correspondence with its related record for future use, referencing, or reprinting. GL Suite maintains historical information in perpetuity, so any type of correspondence can be easily retrieved, tracked, audited, and/or re-sent at any time.</p> <p>Historical information can be sorted chronologically or in ascending or descending alphabetical order by default, and users can choose to re-sort using a menu of predefined sort orders. When users pull up a record, they can quickly view historical information, including but not limited to:</p> <ul style="list-style-type: none"> <li>Activities related to each application and renewal</li> <li>Information related to licenses, permits, and certificates</li> <li>Address changes and other updates to contact information</li> <li>Status changes</li> <li>Complaints, inspections, investigations, and compliance</li> <li>Fees, fines, invoices, and payments</li> <li>Changes to attached files</li> </ul>					
DBM-7	Describe how the software database conforms to the Open Database Connectivity Standard (ODBC).	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:</p> <p>GL Suite is a relational database solution designed to handle every aspect of government regulatory business processes. Relational databases are exemplary for data management and storage. They bring connections within a database to the surface and make the data within even more valuable. Stored data is not only aware of other data in the system, but also the data communicate and share information with each other. Because GL Suite is a dynamic relational database, it allows for endless sorting and viewing options and enables users to generate virtually any combination of information, in any form. This capability is vital because different people at an agency often need to track different types of information about a record or view it in different ways. One staff member may want to track details about license status and pending payments, while another may need detailed information about business location and date established, and yet another about complaints and investigations.</p> <p>Relational databases are also exemplary in their capacity to keep associated stored data linked and synchronized. When relational databases are correctly designed, there is only a single storage location for any piece of information, data updates are simple with no need to change same information in several different files. For example, a client record might be linked to an education record, a registration, and a license. A change of address or status is only made in one place to keep all the program data up to date. Information is always up to date—there is no chance of old data remaining in a forgotten file.</p>					
DBM-8	Describe how the system provides utilities or other tools for administrative users to evaluate data relationships between tables.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response:</p> <p>GL Solutions has integrated Microsoft Power BI services into GL Suite to provide powerful visualizations of your data. Harnessing the power of Microsoft Azure servers, our Client Database Access and Reporting service will provide your agency with the powerful reporting and analytics tools designed to produce deeper and more visually compelling presentations of your data.</p> <p>Power BI provides rich visual presentations of your data, in a variety of ways. Power BI allows users to dynamically alter the parameters of the report in real time, allowing specific pieces of data to be included or excluded to paint a more precise picture or narrow down results. Reports can present visuals such as graphs, bars, or even utilize mapping services to present data in a geographical view. Power BI reports also maintain security, encrypting data at rest and in transit, and reports will mask Personally Identifiable Information.</p> <p>Another benefit of the Client Database Access and Reporting service is gaining access to query your own data. Utilizing Microsoft Azure servers for Power BI, you are able to create your own custom queries to report against your data. When you use Power BI services, your data is isolated in a separate environment. This means you can create complex queries that will have zero impact on your software system.</p>					
DBM-9	Describe how the system prevents corruption or loss of data already entered into the system in the event of failure.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Suite employs strategies to prevent corruption or loss of data already entered into the system in the event of failure. The following include GL Solutions' most common strategies for data protection:</p> <ul style="list-style-type: none"> <li>• Replication of data to an off-site location overcomes the need to restore the data.</li> <li>• High availability systems keep the data and the system replicated off-site, enabling continuous access to systems and data.</li> <li>• Wide Area Network Optimization technology improves disaster recovery capabilities and increases network response times; the technology also ensures that data continues to move through the network even when it is down.</li> <li>• Enterprise-level backup, colocation and cloud computing solutions with 1Mbps to 10Gbps fiber connections.</li> </ul> <p>GL Solutions maintains offsite backup and disaster recovery environments for every agency's GL Suite system, ensuring absolute security for all of the clients we host. Application backup data is typically created in the evenings, every 24 hours. The backup process encompasses data stored in every location in the system, including: Transactional Data, Report Data, Document Repository, Correspondence Templates, Reports, Persisted Customizations, Automated Database Jobs, Interface Applications, Files. GL Solutions will perform daily backup of data from the servers at onsite and offsite locations, enabling fast, painless data restoration if needed. GL Solutions maintains its backup data at a secure colocation data center. This colocation data center is an offsite, Tier III certified data center and exceeds the highest standards for operational security and stability, as set by the Uptime Institute, the world's authority on data security. The facility features a 24/7 live security staff, biometric access, more than 50 high-definition closed-circuit cameras and real-time tracking of staff and visitors.</p>				



**Backup and System Recovery Requirements**

The system must create backup copies of the software and restore and use those backup copies for the basic protection against system problems and data loss. This requirement refers to all application system files, data files, and database data files. The system must provide a comprehensive and easily manageable backup and recovery process.

The system must have a recovery plan that ensures component failures do not disrupt services. The plan must be completed, implemented, and tested prior to system implementation.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
BKP-1	Describe the Backup and System Recovery plan and readiness. Describe the service level agreement on returning the system to service from a backup. Describe the backup retention schedules – daily, weekly, monthly, quarterly, etc.	X	X		





**Response:**

GL Solutions creates full daily backups and retains 90 days of backups at all times. The backup process encompasses data stored in every location in the system, including: transactional and configuration data from the SQL Server database, document repository, correspondence templates, reports, persisted customizations, automated database jobs, interface applications and files.

GL Solutions maintains primary backup data at a secure colocation data center. The colocation data center, an offsite, Tier III certified data center, exceeds the highest standards for operational security and stability, as set by the Uptime Institute, the world's authority on data security. The facility features a 24/7 live security staff, biometric access, more than 50 high-definition closed-circuit cameras and real-time tracking of staff and visitors. Daily monitoring of jobs and tasks to confirm restorability ensures continuous protection of data from unnecessary loss. GL Solutions maintains redundant, replacement failover equipment to monitor and minimize downtime caused by any hardware failure.

GL Solutions also maintains a secure off-site copy of the backup data on the Microsoft Azure; the platform helps to ensure geographic redundancy. Azure offers enhanced security, backups and recovery, and complex queries of data with no impact to services. Microsoft Azure features a secure environment, with policies, technologies and controls that protect your infrastructure from threats.

GL Solutions uses both local and remote backups; in the event of local data issues, GL Solutions accesses the remote data to restore the operating capabilities of a client's GL Suite system, using the last data set.

Daily monitoring of jobs and tasks to confirm restorability ensures continuous protection of data from unnecessary loss. GL Solutions maintains redundant, replacement failover equipment to monitor and minimize downtime caused by any hardware failure. In the event of a disaster or hardware failure, data can be recovered within minutes.

GL Solutions safeguards your data in an environment that virtually eliminates the risk of irretrievable loss of data and/or configuration settings. The following include GL Solutions' most common strategies for data protection:

- Replication of data to an off-site location overcomes the need to restore the data.
- High availability systems keep the data and the system replicated off-site, enabling continuous access to systems and data.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<ul style="list-style-type: none"> <li>Wide Area Network Optimization technology improves disaster recovery capabilities and increases network response times; the technology also ensures that data continues to move through the network even when it is down.</li> <li>Enterprise-level backup, colocation and cloud computing solutions with 1Mbps to 10Gbps fiber connections.</li> </ul>				
BKP-2	Describe all needed hardware, software, and tools, and define all roles, responsibilities, processes, and procedures. The system must be sufficiently flexible to integrate with existing DHHS capabilities and accommodate future changes.	X	X		
<p>Response: For systems hosted by GL Solutions, maintain all responsibility for the backup processes and procedures, as well as for all hardware, software, and tools.</p>					
BKP-3	Describe the Disaster Recovery Plan. Describe the service level agreement on returning the system back to operational service.	X	X		



**Response:**

GL Solutions' strategy is to have a disaster recovery plan in place, to return to normal after the disaster has struck as soon as possible. For an agency, a disaster means abrupt disruption of all or part of its business operations, which may directly result in revenue loss.

Every business disaster has one or more causes and effects. The causes can be natural or human or mechanical in origin, ranging from events such as a tiny hardware or software component's malfunctioning to universally recognized events such as earthquakes, fire, and flood. Effects of disasters range from small interruptions to total business shutdown for days or months, even fatal damage to the business.

The process of preparing a disaster recovery plan begins by GL Solutions working with our client to identify these causes and effects, analyzing their likelihood and severity, and ranking them in terms of their business priority. The ultimate results are a formal assessment of risk, a disaster recovery plan that includes all available recovery mechanisms, and a formalized Disaster Recovery team that has responsibility for rehearsing, carrying out, and improving the disaster recovery plan.

When a disaster strikes, the normal operations of the enterprise are suspended and replaced with operations spelled out in the disaster recovery plan. Figure 1 depicts the cycle of stages that lead through a disaster back to a state of normalcy.

It takes time to assess the exact effects of the disaster. Only when these are assessed and the affected systems are identified can a recovery process begin. The disaster recovery system cannot replace the normal working system forever, but only supports it for a short period of time. At the earliest possible time, the disaster recovery process must be decommissioned and the business should return to normalcy.

The disaster recovery plan does not stop at defining the resources or processes that need to be in place to recover from a disaster. The plan should also define how to restore operations to a normal state once the disaster's effects are mitigated. Finally, ongoing procedures for testing and improving the effectiveness of the disaster recovery system are part of a good disaster recovery plan.

In summary, GL Solutions works with the client to define a disaster recovery plan that (1) identifies and classifies the threats/risks that may lead to disasters, (2) defines the resources and processes that ensure business continuity during the disaster, and (3) defines the reconstitution mechanism to get the business back to normal from the disaster recovery state, after the effects of the disaster are mitigated.



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
BKP-4	Describe how backups of the system are able to be scheduled without user intervention and without interruption to the system.	X	X		
<p>Response:</p> <p>GL Solutions schedules automatic backups to occur every 24 hours. Backups are managed and maintained through a regularly scheduled job which replicates data to a backup database.</p>					
BKP-5	Describe how the system provides testing and validation processes for all of the backup requirements listed previously (BKP-1, BKP-2, BKP-3 and BKP-4).	X	X		
<p>Response:</p> <p>GL Solutions meets this requirement. Our standard practices are to perform testing on our backup policies and procedures on a regular basis. Testing includes walking through the steps for backup and restoration of the servers to ensure functionality.</p>					
BKP-6	If there is a backup failure or downtime, describe the method and timing of communication to DHHS.	X	X		
<p>Response:</p> <p>When unexpected downtime occurs, GL Solutions sends an email to all impacted agencies and another email after the restoration of services. The timing of the email is immediate after the failure or downtime is identified.</p>					



**Security and Audit Requirements**

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
SEC-1	Describe the security safeguards integrated into their application and how these safeguards address DHHS security. Refer, for example, to DHHS Information Technology (IT) Access Control Standard ((DHHS-IT-2018-001B) for specific requirements: <a href="http://dhhs.ne.gov/ITSecurity">http://dhhs.ne.gov/ITSecurity</a>	X	X		

**Response:**

GL Solutions complies with NIST industry standards and frequently updates our security policies in order to maintain said compliance.

### **Control Access**

GL Suite provides security at all levels within the system. Using the Configuration utility within the Control Panel tab, agency administrators can regulate who can and cannot access data and make changes to your system, and they can define different access levels for different groups (roles) within your agency and for individual staff members. Your administrators can set the rights for different groups to view, create, and/or delete records and to view and modify specific fields.

Every screen and field in the system can be configured to one of the following security permission types:

- Hidden—Screen or field is not displayed in the application—the user cannot view or edit this data.
- Read-only—Screen or field is displayed in the application, but the user cannot edit the data.
- Read-Write—Screen or field is displayed in the application, and the user can enter, edit, and/or delete the data.

Groups can be configured to represent organizational sections or specific responsibilities in your agency. Common user groups include licensing managers, licensing employees, cash processors, cash manager, claims staff, etc. You can assign a particular employee to one or more group, and s/he will be granted permissions for all the groups to which s/he belongs.

GL Suite system security is extremely granular such that security can be set differently for every component on a User Interface screen. Administrators at your agency can set different security to access or change each license type that they manage—you can assign rights permitting different people to configure different components of the system. GL Suite allows you to set permissions on reports, correspondence, queries, batch functions, business rules, and literally every other functionality of the system. For example, permissions can be set to restrict users from altering a registration's status if registration requirements have not been fulfilled. Exceptions can be handled in such a way that such rules apply only to specific users or roles but not managers.

### **Authentication**



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>User authentication options include LDAP, SQL Server Database, and ADS. You can choose the authentication method that best suits your network environment.</p> <p><b>Secure the Perimeter</b></p> <p>GL Suite supports robust network and database security settings that protect against unauthorized intrusion. Once authenticated, GL Suite uses a system account to allow the web/application server to communicate with your database. You need not grant database access to any user other than the web server's system account.</p> <p>GL Suite's n-tier XML web-services architecture allows network administrators to isolate user requests from the database server completely.</p>				
SEC-2	<p>The system must comply with Federal, State, and division-specific security requirements including but not limited to:</p> <ol style="list-style-type: none"> <li>1. Health Insurance Portability and Accountability Act (HIPAA) of 1996</li> <li>2. Health Information Technology for Economic and Clinical Health Act (HITECH) of 2009</li> <li>3. Nebraska Electronic Signature Statute <a href="http://www.nebraskalegislature.gov/laws/statutes.php?statute=86-611">http://www.nebraskalegislature.gov/laws/statutes.php?statute=86-611</a></li> <li>4. Privacy Act of 1974</li> <li>5. 45 CFR 164 Security standards for PHI</li> </ol> <p>Refer to the Nebraska DHHS Information Systems and Technology Security Policies and Standards for more information (<a href="http://dhhs.ne.gov/ITSecurity">http://dhhs.ne.gov/ITSecurity</a>)</p> <p>Due to PHI, DHHS will not give access or demonstrate the current system. Our current data systems include System Automation's License 2000 and the federal government's Aspen Central Office.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p><b>Response:</b>            GL Solutions complies with the standards adopted by the National Institute of Standards and Technology of the United States Department of Commerce (NIST 800-53), PCI-DSS and HIPAA.</p> <p>Our standard practices are to perform a security assessment during the implementation of the software system to confirm compliance with these standards. Our experience has shown that most State IT security requirements often mirror that of these three common standards. For additional cost, we will perform an additional security assessment and bring the application into compliance with additional security standards.</p>					
SEC-3	<p>Describe how the system meets the DHHS requirements for unique user ID access. Include:</p> <ol style="list-style-type: none"> <li>1. Specification on configuration of the unique user ID.</li> <li>2. How the unique user ID is assigned and managed.</li> <li>3. How the unique user ID is used to log system activity.</li> <li>4. How the system handles the creation of duplicate user ID accounts.</li> </ol>	X	X		
<p><b>Response:</b>            GL Solutions employs user identification and authentication measures. In the User Authentication and Passwords Policy, the policy states if the system component supports named user accounts, an account must be created for each individual with authority to access the component. Only the named user account should be used to access the component. For named user accounts, the policy says, identification and authentication mechanisms shall be implemented at the application level, as determined by a risk assessment, to provide increased security for the information system and the information processes. This shall be in addition to identifying and authenticating users at the information system level (e.g., when initially logging into a desktop, laptop, or mobile device). And for user accounts, requirements include: when supported by the system component, multi-factor authentication must be used to identify the individual. In addition, where supported by the system component, use replay-resistant authentication mechanisms with MFA.</p>					



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
SEC-4	<p>Describe how the system meets the DHHS standard for administering passwords:</p> <ol style="list-style-type: none"> <li>1. Initial Password assignment.</li> <li>2. Strong Password Requirements.</li> <li>3. Password reset process.</li> <li>4. Password expiration policy.</li> <li>5. Password controls for automatic lockout access to any user or user group after an administrator-defined number of unsuccessful log-on attempts.</li> </ol>	X	X		
<p>Response:</p> <p>GL Solutions meets this requirement. Our standard practices are to enforce the following password rules:</p> <ul style="list-style-type: none"> <li>• Be changed every 90 days.</li> <li>• Contain at least eight total characters.</li> <li>• Must not be the UserID</li> <li>• Must not be identical to previous passwords</li> <li>• May not be words or consecutive keyboard characters.</li> <li>• Must contain all of the following: <ul style="list-style-type: none"> <li>○ Lower case characters</li> <li>○ Upper case characters</li> <li>○ Numbers</li> <li>○ “Special” characters (e.g. @\$%^&amp;*()_+ ~-=\`{}[]:”;’&lt;&gt;/ etc.) EXECPT where not allowed by the application.</li> </ul> </li> </ul> <p>In addition, unsuccessful attempts to enter a password will result in the user being locked out and force a password reset to allow the user to log in again. The number of unsuccessful attempts is configurable.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
SEC-5	<p>Describe how the system meets the requirements for unique system administration access. Include:</p> <ol style="list-style-type: none"> <li>1. Specification on configuration of the unique system administration ID, (approximately 30 with ability to access and manage the applications across all license types).</li> <li>2. How the unique system administration ID is assigned and managed.</li> <li>3. How the unique system administration ID is used to log system activity.</li> </ol>	X	X		
<p><b>Response:</b>            GL Solutions manages the unique system administration ID in the same way GL Solutions manages other account IDs; reference SEC-3 for more information on how GL Solutions manages ID's.</p> <p>GL Solutions provides administrator rights through role-based security. GL Suite provides any level of granularity in system security. Either your agency or GL Solutions configure a User Group for each staff role and set up unique and flexible security for each. You decide which groups create, view, edit, and/or delete everything, including each screen, field, case type, calendar view, business rule, document, report, and much more.</p> <p>GL Suite provides security at all levels within the system. GL Suite incorporates leading-edge technology that ensures the security and privacy of your data. With your new GL Suite system, user authentication options include LDAP, SQL Server Database, and ADS. You choose the authentication method that best suits your network environment. GL Solutions enables you to add users and maintain user-level permissions, as well as create groups and maintain group-level permissions. You can also define different permissions for every screen and field, deciding what permissions override others.</p>					
SEC-6	<p>Describe how the system meets the requirements for unique database administration access. Include:</p> <ol style="list-style-type: none"> <li>1. Specification on configuration of the unique database administration ID.</li> <li>2. How the unique database administration ID is assigned and managed.</li> <li>3. How the unique database administration ID is used to log system activity.</li> </ol>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b> GL Solutions manages the unique system administration ID in the same way GL Solutions manages other account IDs; reference SEC-3 for more information on how GL Solutions manages ID's.</p> <p>GL Solutions provides administrator rights through role-based security. GL Suite provides any level of granularity in system security. Either your agency or GL Solutions configure a User Group for each staff role and set up unique and flexible security for each. You decide which groups create, view, edit, and/or delete everything, including each screen, field, case type, calendar view, business rule, document, report, and much more.</p> <p>GL Suite provides security at all levels within the system. GL Suite incorporates leading-edge technology that ensures the security and privacy of your data. With your new GL Suite system, user authentication options include LDAP, SQL Server Database, and ADS. You choose the authentication method that best suits your network environment. GL Solutions enables you to add users and maintain user-level permissions, as well as create groups and maintain group-level permissions. You can also define different permissions for every screen and field, deciding what permissions override others.</p>				
SEC-7	Describe how the system supports the use of multi-factor authentication.	X	X		
	<p><b>Response:</b> GL Solutions implements multi-factor authentication (MFA) for clients who need or require MFA. Multi Factor Authentication (MFA) adds extra security to the GLSuite6 Login process.</p> <p>GL Suite confirms a login by sending a secret one-time use code to the authenticated user. GL Suite offers four options for how to supply the secret code: WatchGuard Mobile App, email, email to voice, text message.</p>				
SEC-8	Describe any security processes for managing security updates, and integrated components subject to vulnerability, including anti-virus.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            Security was our paramount concern when we designed GL Suite. Its 3-tiered architecture provides elevated security because it allows physical separation of tiers into sub-networks. This enables each tier to be isolated behind different firewalls and creates a robust defense against SQL injection and other common attack scenarios. Notably, our Database tier is the only access method to SQL Server. This permits SQL Server to be physically isolated from the Business and Presentation tiers—an ideal feature for security.</p> <p>GL Suite security features include:</p> <ul style="list-style-type: none"> <li>• User Authentication options include LDAP, SQL Server Database, and ADS</li> <li>• GL Suite system security is extremely granular to the extent that changes can be made to every component on a page. For example, agencies can set different security to access or change each license type that they manage.</li> <li>• Uses token-based authentication methods which enhance user security by circumventing the need to send user names and passwords over the internet</li> <li>• Maintains encrypted data in the database itself (e.g. encrypted Social Security Numbers)</li> <li>• Each tier—Client, Presentation, Business, and Database—has its own layer of security and each is separated from the other with a firewall</li> <li>• HIPAA compliant to ensure the confidentiality and security of protected health information when it is transferred, received, handled, or shared</li> <li>• The GL Suite application components access the RDBMS using best practices for MS SQL Server security</li> <li>• We use a third party to test and certify our site and application against SQL injection attacks</li> <li>• Multi-level security establishes secure connections between the application, clients, and web servers using Secure Sockets Layer (SSL) certificates</li> <li>• Both the GL Suite application and any public-facing websites that access your data use Hypertext Transfer Protocol Secure (HTTPS) ensuring that all data sent between a user and your organization is encrypted and secure</li> <li>• All documents saved, uploaded, and/or created in GL Suite are obfuscated and do not allow directory browsing, preventing intruders from accessing non-public documents</li> </ul>				



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
SEC-9	Describe how the system provides the ability to maintain a directory of all personnel who currently use or access the system.				
<p>Response:</p> <p>GL Suite contains a control panel which allows administrative users to view all staff records contained within the account. The control panel will display all active and inactive staff records and provide a link to these records, as well as the ability to inactivate a staff record directly from the control panel.</p>					
SEC-10	<p>The State of Nebraska requires authentication and authorization of users through an enterprise directory known as the Nebraska Directory Services (NDS) to access web-based applications. Describe how the system will integrate NDS authentication.</p> <p>Refer to the Nebraska Information Technology Commission Security Architecture – Authentication and Authorization – Identity and Access Management Standard for State Government Agencies (8-303) for specific requirements:  <a href="https://nitc.nebraska.gov/standards/8-303.pdf">https://nitc.nebraska.gov/standards/8-303.pdf</a></p>	X	X		
<p>Response:</p> <p>GL Suite’s integrated security features include user Authentication options that include LDAP, SQL Server Database, and ADS. GL Suite maintains encrypted data in the database itself (e.g. encrypted Social Security Numbers). Both the GL Suite application and any public-facing websites that access your data use Hypertext Transfer Protocol Secure (HTTPS) ensuring that all data sent between a user and your organization is encrypted and secure. All documents saved, uploaded, and/or created in GL Suite are obfuscated and do not allow directory browsing, preventing intruders from accessing non-public documents.</p> <p>GL Solutions has successfully integrated single sign on capabilities with various state gateways. In addition, we have the ability to integrate with Active Directory single sign on, as we have demonstrated this ability for systems in the states of Alaska, Illinois and Nebraska.</p>					

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
SEC-11	<p>Describe how the system provides rule-based security and allows restricted access to system features, function, screens, fields, database, etc. Role authentication may occur at the directory level, application level, or database level (depending on database system). Describe the security administration functions integrated into the system that manage role-based access to system functions, features, and data. Include a description of:</p> <ol style="list-style-type: none"> <li>1. How and where the system stores security attributes or roles (e.g., LDAP attributes, database tables, files).</li> <li>2. The interface between the LDAP and the application, if roles are assigned in an LDAP directory.</li> <li>3. How roles are created and security is applied to the role based on how and where security attributes are stored (if multiple options describe each).</li> <li>4. How groups are defined and how roles and security are applied to each group.</li> <li>5. How access limits are applied to screens and data on screens by role or group.</li> <li>6. How users are created and assigned to one or more roles or groups.</li> <li>7. How role and group creation and assignment activity is logged.</li> </ol>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Suite provides any level of granularity in system security. Clients or GL Solutions can configure a User Group for each staff role and set up unique and flexible security for each. The client decides which groups create, view, edit, and/or delete everything, including each screen, field, case type, calendar view, business rule, document, report, and much more.</p> <p>GL Suite provides security at all levels within the system by incorporating leading-edge technology that ensures the security and privacy of data. With a new GL Suite system, user authentication options include LDAP, SQL Server Database, and ADS. Clients choose the authentication method that best suits their network environment. GL Suite provides the ability to add users and maintain user-level permissions, as well as create groups and maintain group-level permissions. Clients can also define different permissions for every screen and field, deciding what permissions override others.</p> <p>Roles can be configured to represent organizational sections or specific responsibilities in your agency. Common user roles include licensing managers, licensing employees, cash processors, cash manager, claims staff, etc. The number of roles that can be created in GL Suite is unlimited. A particular employee can be assigned to one or more roles, and s/he will be granted permissions for all the roles to which s/he belongs.</p> <p>GL Suite system security is so granular that security can be set differently for every component on a page. For example, clients can set different security to access or change each license type that is managed and assign rights permitting different people to configure different components of the system. GL Suite allows clients to set permissions on reports, correspondence, queries, batch functions, and literally every other functionality of the system, including business rules. For example, permissions can be set to restrict users from altering a registration's status if registration requirements have not been fulfilled. Exceptions can be handled in such a way that such rules apply only to specific users or roles but not managers.</p>				

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
SEC-12	<p>The system must automatically disconnect based upon inactivity, as required by DHHS Security Policies and Standards.</p> <p>Describe how the feature is administered and what effect disconnect has on any activity or transaction in process at the time of disconnection.</p> <p>Refer to DHHS Securing Hardware and Software Standard (DHHS-IT-2018-001A) for specific requirements:  <a href="http://dhhs.ne.gov/ITSecurity">http://dhhs.ne.gov/ITSecurity</a></p>	X	X		
<p>Response:            GL Suite allows for inactive sessions to automatically log users out after a specified period of time. This period of time is configurable per client system. If a user is disconnected due to inactivity, any saved data will be retained within the activity or transaction while any unsaved data will need to be re-entered.</p>					
SEC-13	<p>The system must protect confidential and highly restricted data from unauthorized access during transmission. Describe transmission safeguards that are integrated into the proposed system to protect data during transmission, including any encryption technology.</p> <p>Refer to DHHS Information Technology (IT) Security Policy (DHHS-IT-2018-001) for specific requirements:  <a href="http://dhhs.ne.gov/ITSecurity">http://dhhs.ne.gov/ITSecurity</a></p>	X	X		
<p>Response:            GL Solutions implements encryption and cryptographic mechanisms, such as Secure Sockets Layer (SSL) Secure Shell (SSH), Transport Layer Security (TLS), Internet Protocol Security (IPSec) and Virtual Private Networks (VPNs), to prevent unauthorized disclosure of information and/or to detect changes to information during transmission. The policy lists the standards to observe when implementing cryptographic mechanisms; for example, NIST SP 800-113 and FIPS 140-2 approved encryption technology must be used as guidance on SSL VPNs.</p>					



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
SEC-14	<p>The system must provide auditing functions for all data fields, including but not limited to:</p> <ol style="list-style-type: none"> <li>1. The user ID of the person who made the change.</li> <li>2. The date and time of the change.</li> <li>3. The physical, software/hardware and/or network location of the person while making the change.</li> <li>4. The information that was changed.</li> <li>5. The outcome of the event.</li> <li>6. The data before and after it was changed, and which screens were accessed and used.</li> </ol> <p>Refer to DHHS Information Technology (IT) Audit Standard (DHHS-IT-2018-001F DHHS IT Audit Standard) for specific audit requirements: <a href="http://dhhs.ne.gov/ITSecurity">http://dhhs.ne.gov/ITSecurity</a></p>	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Suite tracks all information and supporting records related to an entity (such as individuals, businesses, buildings, items, exams, and transactions) and organizes the information into a customizable Navigation Tree. It also tracks the associations between entities. For example, accountants and accounting firms are tracked as separate entities, but GL Suite also allows you to track bi-directionally which accountants work at which accounting firms. It will also track the history of these relationships and will enable you to see every firm that an accountant has worked with and/or all accountants who have ever worked for a specific firm.</p> <p>GL Suite will enable your agency to track every notification, task, correspondence, meeting, complaint, and any other information and supporting records related to an entity with ease. GL Suite saves the final version (as well as any modifications) of each correspondence with its related record for future use, referencing, or reprinting. GL Suite maintains historical information in perpetuity, so any type of correspondence can be easily retrieved, tracked, audited, and/or re-sent at any time.</p> <p>Historical information can be sorted chronologically or in ascending or descending alphabetical order by default, and users can choose to re-sort using a menu of predefined sort orders. When users pull up a record, they can quickly view historical information, including but not limited to:</p> <ul style="list-style-type: none"> <li>Activities related to each application and renewal</li> <li>Information related to licenses, permits, and certificates</li> <li>Address changes and other updates to contact information</li> <li>Status changes</li> <li>Complaints, inspections, investigations, and compliance</li> <li>Fees, fines, invoices, and payments</li> <li>Changes to attached files</li> </ul>				
SEC-15	<p>The system must provide auditing functions for confidential and highly restricted data that is accessed and viewed, regardless of whether the data was changed. Describe the auditing functions which must include but not be limited to:</p> <ol style="list-style-type: none"> <li>1. The user ID of the person who viewed the data.</li> <li>2. The date and time of the viewed data.</li> </ol>	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	3. The physical, software/hardware and/or network location of the person viewing the data. 4. The information that was viewed. Refer to DHHS Information Technology (IT) Audit Standard (DHHS-IT-2018-001F DHHS IT Audit Standard) for specific audit requirements: <a href="http://dhhs.ne.gov/ITSecurity">http://dhhs.ne.gov/ITSecurity</a>				
<b>Response:</b> Automated auditing functions have been detailed within our response to SEC-14.					
SEC-16	If the system has the ability to override edits, describe how the system audits all overridden edits and identifies information including, but not limited to, the login ID, date, and time.	X	X		
<b>Response:</b> GL Suite captures audit trail information on every screen, for authorized users to view a history of changes made to the database by each user, including date and time stamps for changes, fields changed, and detailing the data both before and after the changes. GL Suite is able to provide audit log reports at various levels of detail to meet various specific needs.					
SEC-17	Describe how the system produces daily audit trail reports and allows inquiries, showing updates applied to the data.	X	X		
<b>Response:</b> GL Solutions can specify and configure reports against the audit logs to provide a daily audit trail report. We will coordinate with the DHHS to determine the specific data to be presented with the report. If desired, we can configure an overview report to display a general snapshot of updates that were performed to records, and a second report to provide more granular details regarding what updates were made by a specific user.					
SEC-18	Describe how the system provides an auto archive/purge of the log files to prevent uncontrolled growth of the log and historical records storage using administrator-set parameters.	X	X		
<b>Response:</b> GL Suite is designed to retain audit trails in perpetuity and does not typically purge the logs. If desired, we can configure business rules which will auto-archive or purge the logs once the data has reached a specified age.					
SEC-19	Describe how the system supports encryption of data at rest or an equivalent alternative protection mechanism. Describe the proposed encryption of data. If data is not encrypted, describe in detail compensating controls.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Suite meets this requirement. The core of the software system was designed to encrypt data both in transit and at rest. To ensure the protection, confidentiality and integrity of confidential and PII data at rest and in transit, company documents and retain on file a case-by-case risk management determination for each type of confidential information as necessary to identify and implement appropriate controls necessary to safeguard information. Every system component is classified with an information classification. The classification assigned is the highest information classification for any data held by the system component. Once assigned, the classification is logged to the information inventory.</p>					
SEC-20	Describe how the system adheres to the principle of "Fail Safe" to ensure that a system in a failed state does not reveal any sensitive information or leave any access controls open for attacks.	X	X		
<p>Response: GL Suite is designed to only facilitate access to the database for users with the appropriate credentials and permissions. GL Suite will not authenticate a user in a failed state, which will prevent any access to the database.</p>					
SEC-21	Describe how the system is configurable to prevent corruption or loss of data already entered into the system in the event of failure.	X	X		
<p>Response: GL Solutions maintains its backup data at OneNeck, Bend Broadband's Tier III certified data center. OneNeck features redundant power and cooling, full fiber speed and bandwidth and rock-solid, state-of-the-art security systems. When you have GL Solutions host your system, you never have to worry about power failures, connectivity issues or security violations, as OneNeck's colocation services provides reliability, flexibility and security that simply can't be matched by on-site server facilities.</p> <p>Our hosting solution offers industry-leading security, stability and fault tolerance. We feature the use of RAID 5 configuration, as well as redundant application servers with a network load balancer, allowing all work to fall over to the second server in a scenario where one server fails.</p>					
SEC-22	Describe how the system, upon access, displays a message banner indicating that this application is only to be accessed by those individuals who are authorized to use the system.	X	X		

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Suite allows for the configuration of various alerts from within the application. Alerts can be configured to be displayed upon the first user login to the software system, or upon every login. We will specify and configure an alert to display a banner upon login indicating that the application is only to be accessed by those individuals who are authorized to use the system.</p>					
SEC-23	Describe how the system, prior to access of any confidential or highly restricted data, displays a configurable warning or login banner (e.g. "The system must only be accessed by authorized users"). In the event that the system does not support pre-login capabilities, describe how the system displays the banner immediately following authorization.	X	X		
<p>Response: GL Suite allows for the configuration of various alerts from within the application. These alerts can be configured to appear at the login screen, or to be displayed after login.</p>					
SEC-24	Describe how the system recognizes confidential and highly restricted data in screens, reports, and views (i.e. PHI and SSN), and restricts distribution and access based upon system security settings and roles. Include warnings on printed and viewed reports.	X	X		
<p>Response: GL Suite can provide any level of granularity in system security. Either your agency or GL Solutions can configure a User Group for each staff role and set up unique and flexible security for each. You decide which groups can create, view, edit, and/or delete everything, including each screen, field, case type, calendar view, business rule, document, report, and much more.</p>					
SEC-25	The system or Contractor must alert DHHS of potential violations of security and privacy safeguards. Incidents that involve or could potentially involve confidential or highly restricted data must be reported immediately as defined in DHHS Policy DHHS-2018-IT-001E DHHS IT Incident Management Standard.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response: GL Solutions will alert DHHS of potential violations of security and privacy safeguards. GL Solutions, per the company's System Events Policy, categorizes system events into one of four categories based on the potential system component availability impact. GL Solutions requires that personnel must report suspect security incidents to responsible party/parties within 30 minutes.</p> <p>GL Solutions reviews and executes the Incident Response Plan in any event of suspected or identified confidential and PII data loss or breach. For System Events, GL Solutions specifies to execute the system event plan appropriate to the system event. In addition, GL Solutions requires that external reporting shall include clients and law enforcement agencies based on the nature of the event and the applicable legal requirements.</p>				
SEC-26	Describe how the system provides the capability to monitor events on the information system, detects attacks, and provides identification of unauthorized use of the system.	X	X		
	<p>Response: GL Solutions requires that all system events with a moderate to severe Impact be recorded in the System Event Log. In addition GL Solutions requires that information recorded in regard to information technology security breaches shall cover certain items at a minimum; for example, these include identifying the current level of impact on company functions or services. As part of compliance log management and reporting, GL Solutions specifies to create an alarm (email alert) and event view to quickly and simply review detected incidents. GL Solutions creates a Detection Processes Report to ensure that event detection information is communicated to appropriate parties.</p> <p>GL Solutions offers a Network Administration-Emergency Support Training; the training gives employees the skills to: identify and report suspicious activities, both from external and internal sources and log system events and related details for future prevention. Annually, GL Solutions delivers Network Administration-Emergency Support Training to the system administrator and managers.</p>				
SEC-27	The system must provide a process for archiving or destroying data and sanitizing storage media in conformance with DHHS and Division data governance policies and subject to applicable HIPAA, and federal (e.g., Federal Information Processing Standards (FIPS), National Institutes of Standards and Technology (NIST), and State laws.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Suite provides a process for archiving or destroying data and sanitizing storage media in conformance with DHHS and Division data governance policies and subject to applicable HIPAA, and federal (e.g., Federal Information Processing Standards (FIPS), National Institutes of Standards and Technology (NIST), and State laws.</p> <p>GL Solutions' Media Protection Policy explains that media is destroyed by GLS through file destruction and physical destruction procedures. For example, prior to disposing of storage media, such as desktop and server computers, hard drives are removed. The hard drives are then overwritten sector-by-sector three times and then written with a character in compliance with Department of Defense regulation DoD 5220.22-M. Annually, an IT Support Specialist at GL Solutions, test sanitization equipment and procedures to ensure compliance to the Media Protection Policy.</p>				



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
SEC-28	Describe how the system provides the capability to identify and report on unauthorized attempts to access information in the system, based on user-defined criteria.	X	X		
<p><b>Response:</b>            GL Solutions requires: continuously updated threat intelligence. To monitor for attacks, GL Solutions requires to: identify whether known attackers are attempting to interact with system components; monitor information systems to detect attacks and indicators of potential attacks and unauthorized local, network, and remote connections; continuously monitor for anomalies, suspicious user and entity behaviors, and attacks from malware and brute force authentication attacks.</p> <p>Monitoring must include host-based, network-based, transport-based, or storage-based event monitoring tools or Security Information and Event Management (SIEM) technologies that provide real time analysis of alerts and/or notifications generated by information system components; hardware connected to the network must be configured with agents that allow the reporting of network activity to the AlienVault; monitor for attempts to deny service or degrade the performance of information systems.</p> <p>GL Solutions requires a Protective Technology Report produced and stored at least monthly; the content provides a place where audit/log records are determined, documented, implemented, and reviewed in accordance with policy. In addition, GL Solutions requires an Anomalies and Events Report produced and stored at least monthly; the report provides a place where detected events are analyzed to understand attack targets and method.</p>					
SEC-29	Describe how the system has defined and deployed strong controls (including access and query rights) to prevent any data misuse, such as fraud, marketing or other purposes.	X	X		





Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>Response:</b>            GL Suite provides any level of granularity in system security. Clients or GL Solutions can configure a User Group for each staff role and set up unique and flexible security for each. The client decides which groups create, view, edit, and/or delete everything, including each screen, field, case type, calendar view, business rule, document, report, and much more.</p> <p>GL Suite provides security at all levels within the system by incorporating leading-edge technology that ensures the security and privacy of data. With a new GL Suite system, user authentication options include LDAP, SQL Server Database, and ADS. Clients choose the authentication method that best suits their network environment. GL Suite provides the ability to add users and maintain user-level permissions, as well as create groups and maintain group-level permissions. Clients can also define different permissions for every screen and field, deciding what permissions override others.</p> <p>Roles can be configured to represent organizational sections or specific responsibilities in your agency. Common user roles include licensing managers, licensing employees, cash processors, cash manager, claims staff, etc. The number of roles that can be created in GL Suite is unlimited. A particular employee can be assigned to one or more roles, and s/he will be granted permissions for all the roles to which s/he belongs.</p> <p>GL Suite system security is so granular that security can be set differently for every component on a page. For example, clients can set different security to access or change each license type that is managed and assign rights permitting different people to configure different components of the system. GL Suite allows clients to set permissions on reports, correspondence, queries, batch functions, and literally every other functionality of the system, including business rules. For example, permissions can be set to restrict users from altering a registration's status if registration requirements have not been fulfilled. Exceptions can be handled in such a way that such rules apply only to specific users or roles but not managers.</p>				
SEC-30	The system must be able to export audit logs that can be used with a third party Log Management & Analysis tool. Describe how the system exports logs in such a manner as to allow correlation based on time (e.g. Universal Time Coordinate (UTC) synchronization.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions can develop and configure a data-exchange interface to facilitate the export of audit logs to a third party. We can configure business rules which will generate the audit report on a scheduled job. Upon generation of the report, the scheduled job will then execute the data-exchange interface to send the report to the third party.</p>					
SEC-31	Describe how the system supports removal of a user's privileges without deleting the user from the system to ensure a history of user's identity and actions.	X	X		
<p>Response: GL Suite meets this requirement. The core of the software system allows users with the appropriate permissions the ability to de-activate staff records. A de-activated staff record will retain the user profile and history within the system while preventing it from logging into the system. Staff records can be activated or de-activated by users with the appropriate permissions as needed.</p>					

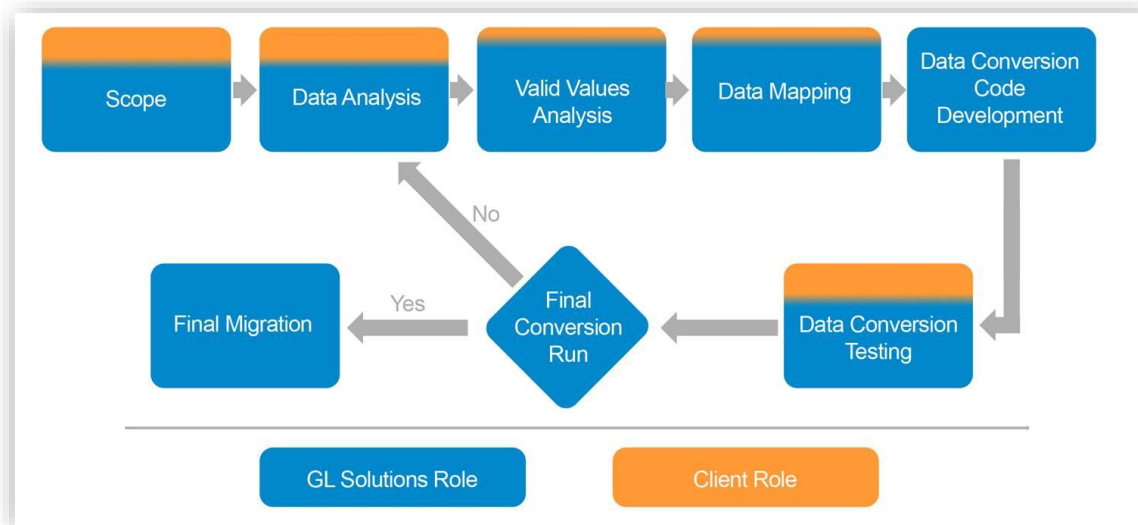
### Data Conversion Requirements

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
DAC-1	<p>Describe the process for converting all historical data from the Department's existing systems, spreadsheets, and other supporting applications that are required for ongoing operations of the system and the historical reporting needs of the department.</p> <p>There are approximately 94 microfilm rolls with up to 1500 pages of records on each roll, for up to 141,000 microfilm records that must be digitally converted. Additionally, approximately 25,000 pages of Board meeting minutes and associated files that should be digitized.</p> <p>System Automation's License 2000 (Oracle) currently contains approximately 655 tables and 50 million records.</p> <p>DHHS also has approximately twelve (12) Access/Excel databases. Some information in these databases does not tie to license information in L2K.</p> <p>DHHS also uses the federal government's Aspen Central Office to import licensure data on a daily basis.</p>	X	X		

**Response:**

Well-executed data conversion is essential for project success. GL Solutions offers over 20 years of experience examining, optimizing, and successfully utilizing our data conversion strategies in implementations. In addition, GL Solutions offers experience replacing any legacy system and migrating any volume of legacy data. GL Solutions strives to provide accuracy, while minimizing the resources required of your team. To achieve this, we employ deep analysis, intelligent planning, strong collaboration, clear design, logical automation, careful manual manipulation, as well as meticulous testing.

**Conversion & Migration Events**



**Key Conversion Events**

GL Solutions and your team will follow carefully mapped out steps to complete conversion and migration:

12. Identify the scope of data conversion for each business area and the source databases GL Solutions will be converting

13. Client provides legacy data (in native format) and any related documentation
14. Plan approach to data conversion
  - c. Client produces legacy reports that list key data measures and scenarios to validate the conversion (e.g. hash totals, row counts, legacy reports)
  - d. Identify the quantity and nature of data to be converted and plan appropriately
    - v. Define and document data extraction standards and procedures
    - vi. Identify and understand the data to be converted
    - vii. Identify data source for the identified data
    - viii. Develop and document approach (approaches include automatic [scripted procedures], manual [user-entered data], or a combination of both)
15. Load data into source SQL server database
16. Valid value analysis
  - b. Identify valid values and redundancies including reference tables and list values that were established in configuration
17. Specification
  - c. GL Solutions develops workflow diagram database schema based on input from client Project Team that identifies all tables and fields in the source system and the tables/fields that are and are not being converted
  - d. Map data from existing system to proposed system (documented in the data conversion crosswalk Excel file)
18. Perform data conversion development
  - f. Design error and logging framework for analysis and generation of exception reports
  - g. Develop data migration programs to extract source data into the new database schema
  - h. Develop and test migration scripts
  - i. Generate exception reports
  - j. Identify exception data to be fixed
19. Perform data conversion testing
  - c. GL Solutions tests conversion results of migrated data
  - d. Client Project Team performs data testing
20. Test phase

- i. Set up test environment
- j. Client Project Team provides source data
- k. Run extraction and loading routines in the test environment
- l. Run conversion procedures in test environment
- m. Set up User Acceptance Testing (UAT) environment
- n. Provide data to a staging area for UAT environment
- o. Run extraction and loading routines in the UAT environment
- p. Run conversion procedures in UAT environment

21. Post conversion

- c. Identify correction modes for nonstandard data (manual and/or automatic)
- d. Write and test programs to correct corrupted data automatically

22. Perform final migration

- c. Client Project Team provides a final set of source data
- d. GL Solutions and the client Team collaborate to provide a listing of data fields for which incremental numbering is specified (e.g. license numbers, invoice numbers, and file numbers) including starting values

The following provides more information about the conversion and migration processes.

**Source Data Preparation**

The client Project Team provides legacy data in ODBC format if possible. If it is not possible, GL Solutions will work with your technical staff to determine an alternate format. Data should be cleansed to minimize data complications. This enables GL Solutions to provide simpler conversion code with fewer exceptions and errors. The client Team verifies the accuracy of source data prior to packaging.

GL Solutions converts legacy data in accordance with the specification and mapping documents and the exception handling process described below. GL Solutions analyzes source data, including the quantity and nature of data to be converted and converts the data in the state in which it is received. GL Solutions will provide an exception report to assist client Team in resolving errors.



**SECURE DATA TRANSFER:** To ensure data integrity and security, the client Project Team packages source data as an encrypted, compressed file and places the file on a Secure FTP site (SFTP). GL Solutions stores the data on a secure server inside GL Solutions' firewall. Once converted, data is migrated into the GL Solutions Test environment—access requires login credentials that provide adequate security permissions. GL Solutions only stores the data as long as is necessary to support development of your system.

#### **Data Analysis & Data Conversion Planning**

Together, the client team and GL Solutions identify the quantity and nature of data to be converted and plan appropriately. The teams work together to determine what conditions constitute an exception and/or manual processing. They decide whether to convert data automatically or manually on a case-by-case basis. The client produces legacy reports that list key data measures and scenarios that will be used to validate the conversion.

#### **Data Importing and Staging**

GL Solutions creates, documents, and executes programs to import all source data into SQL Server to be used for data conversion staging. GL Solutions then performs checks against the original data sources to ensure that all data has been imported.

#### **Valid Value Analysis**

After importing source data, GL Solutions performs valid value analysis, which includes identifying redundancies, valid and invalid values, data inconsistencies, and business validity checks.

#### **Specification & Mapping**

In order to clarify and formalize the approach to converting data and to provide direction to data conversion coding, GL Solutions creates a detailed data conversion specification (workflow diagram and crosswalk) for each stage including every data source. GL Solutions first generates a workflow diagram noting physical data structure of the source data along with:

- Tables that will and will not be converted
- Fields that will not be converted from tables being converted
- General relationships between the source data tables



GL Solutions works with client team to facilitate an informal review of the data schema at the beginning of each stage. GL Solutions then creates the data conversion crosswalk, mapping each source data table/element to a new client table/element, noting specific business rule logic and fields that will not be converted. GL Solutions works with you to identify and resolve issues with data conversion and gain approval of the data schema and crosswalk.

#### **Exceptions & Manual Processes**

GL Solutions will query the source data to locate normalization problems and provide information to assist the client team in efficient data cleanup. If necessary, we will define manual conversion routines to be executed by the client team.

#### **Coding**

Using the data schema and crosswalk, GL Solutions writes the data conversion code to match the specification to create client entities and their related records. Data conversion code will include the logging of exceptions, which will be compiled into an Exception Report.

#### **Test Conversion Runs**

Prior to final conversion, GL Solutions performs two test conversion runs: 1) an initial run and 2) a run using specification/code revisions stemming from the initial run. Tests will first be run in GL Solutions' test environment then in the User Acceptance Testing (UAT) environment. Test systems will be configured to sufficiently simulate the production environment and provide accurate predictors of the time required for the final data conversion run.

#### **Final Data Conversion Run**

The final data conversion process implements the data conversion approach defined in the data schema and data conversion specification. The final data conversion will be run in two environments: first in the GL Solutions' test environment then in the production environment.

#### **Exception Handling**

The data conversion code logs source records that do not convert into the exceptions table with explanations as to why the exception took place. After each data conversion run, GL Solutions and the client team review the Exception Report to determine the appropriate action for each exception, such as:

The mutual decision for the client team to cleanse the data prior to extraction

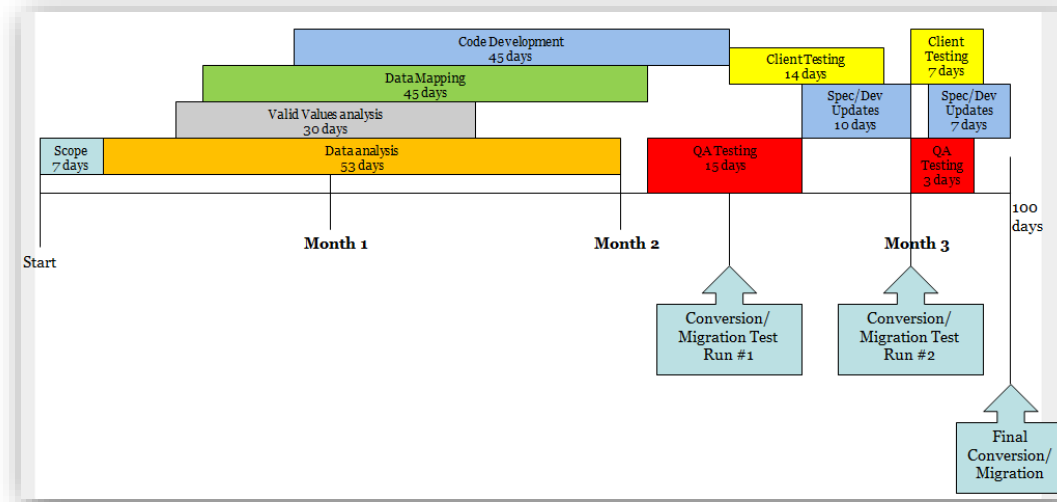


Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
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Manual post-data conversion clean up  
 An update to the Crosswalk Specification and code to automatically handle the exception  
 The decision by the client team to tolerate the exception and do nothing

**Data Conversion Process Timeline**

Below is a sample timeline for the data conversion process—timing will vary depending on the specifics of your system.



**Sample Data Conversion Timeline**

Data conversion requires a high level of quality assurance—it is the foundation of a successful installation. Our Quality Assurance Specialists are involved from the early stages of conversion design through the final conversion at go-live.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
DAC-2	<p>Describe the data conversion plan which includes data element mapping crosswalks, data cleansing, data synchronization for initial and interim conversion activities leading up to the final data conversion, and frequency of interim conversion events and final conversion execution. Contractor will be responsible for all data standardization and cleansing.</p> <p>It is acceptable to migrate data and go live with license applications in incremental steps.</p> <p>For individual licensees, SSN is included in L2K. There is also an identifier called "Person ID" in L2K.</p> <p>For establishments in L2K, there are unique license numbers by license type, and unique applicant numbers.</p> <p>In ACO, establishments have unique license numbers by license type.</p>	X	X		
<p><b>Response:</b>            GL Solutions will develop a comprehensive transition plan showing the major activities and estimated timelines, tasks, and subtasks necessary to transition to an operational system. At a high level, GL Solutions collects a copy of your data early in the implementation, studies it, and iterates with you to determine the structure required to support your business processes, and to convert that data into GL Suite. GL Solutions will test the conversion and will then ask you to test to confirm your data exists where you expect it. Once conversion defects are resolved, we will be ready to use the same conversion scripts with the DHHS's final data set. Please see our response to DAC-1 for detail on the conversion process.</p>					



## Production, Test and Training Requirements

DHHS requires three separate environments (Production, Test, and Training) in order to operate and maintain the new software on an ongoing basis:

**Test Environment** – A test environment is required that mirrors the live production environment, including hardware and software. This test environment will be used to test application changes before deployed to production. This step is an important part of quality assurance, where all changes are tested to minimize the risk of adverse reactions in the production environment. While it is necessary to mirror all of the functions of the production environment, it is not necessary to maintain the same load capacity.

**Training Environment** – A training environment is also required that allows DHHS to provide hands-on training to users. This environment would allow DHHS to maintain unique data for use in training and conduct training without interference with the test or production environments. This environment will have occasional use.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
PTT-1	Describe how the system supports several environments, i.e., production environment, test environment, and training environment.	X	X		
<p>Response:</p> <p>GL Suite is supported by 4 distinct environments. These environments are the DEV, SYS, UAT, and Production environments. The purpose of DEV is for the configuration of functionality and screens. SYS is utilized internally by GL Solutions to unit and system test functionality as it is configured. UAT is our client testing platform. Production is the live environment where all agency work is performed.</p>					
PTT-2	Describe how the system supports non-production environments such as testing and training environments. Training environment must contain de-identified data and not include confidential or highly restricted data.	X	X		
<p>Response:</p> <p>GL Suite supports the SYS and UAT environments for testing. The SYS environment is used internally by GL Solutions staff to perform unit and system testing. UAT, or User Acceptance Testing, is the client testing site where all client testing is performed. GL Solutions standard practices are to scrub all data within the SYS and UAT environments of Personally Identifiable Information (PII).</p>					



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
PTT-3	Describe how the system provides the ability to refresh any testing or training environment at the request of DHHS. Describe the refresh process and whether the refresh process can be completed using DHHS resources, or whether the process requires professional services from the Contractor.	X	X		
<p>Response:</p> <p>GL Solutions is able to perform an environmental sync to bring data or configuration in line with that of another environment. This is a service performed by GL Solutions staff. The process includes either synchronizing data up or down (either from DEV up, or from UAT down through DEV). For example, GL Solutions can perform a sync between Production and UAT to assist the DHHS in performing testing with real data to reproduce results.</p>					
PTT-4	Describe the test procedures for any changes to the system. Describe user test planning including unit testing, end-to-end testing, stress testing, and readiness testing prior to "go live" date.	X	X		



**Response:**

GL Solutions utilizes a proven strategy to identify, manage, and resolve issues. GL Solutions’ testing strategy consists of three types of testing—Preliminary Testing (Static, Unit, and Development), Integration Testing, and System Testing—each aimed at helping us meet our clients’ functional and deliverable requirements. Our focus on requirements traceability throughout your system implementation ensures that your business needs are met. Finally, we also support our clients in their execution of User Acceptance Testing.

**Preliminary Testing**

GL Solutions’ QA team executes various preliminary tests in the early stages of your project design and development.

**Static Testing**

GL Solutions Static Tests the documents that will be used to develop your GL Suite system, before we begin programming. The purpose of Static Testing is to identify defects early on, before programming begins. Our QA Specialists perform Static Tests on the Phase 1 Use Case analyses, Phase 2 Workflow Diagrams, Phase 3 Self-Documenting Specifications, and Phase 4 Output specification documents. Our preliminary testing and defect correction of these documents ensures the development of a superior product in a shorter amount of time.

**Unit Testing (Functional Testing)**

GL Solutions Developers and QA Specialists conduct Unit Tests throughout the development process to confirm that the configured and developed functionality performs according to specifications.

Unit Tests occur iteratively between GL Solutions’ Development and QA teams. Once all rules required by a business process are developed, the Developer informs QA and a Specialist is assigned. GL Solutions Developers Unit Test programming code in isolation from the integrated system to verify that the software works according to specifications. GL Solutions QA Specialists use the specification documents from phases 1-4 as models for developing test plans and verifying that functionality meets your system requirements. They perform a separate set of tests for each business process to verify low-level details of the screens, fields, and automation. GL Solutions will update specifications (if needed) and code to resolve defects and re-execute testing until any and all issues are resolved.

**Development Testing**



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>GL Solutions' QA team conducts Development Testing to confirm that developed or configured software functions according to requirements and properly interfaces with already programmed functionality. The intention of the Development Test is to "break" the software using standard industry testing techniques.</p> <p><b><u>Integration Testing</u></b></p> <p>GL Solutions works with our clients' technical staff to conduct Integration Testing. Integration Testing determines if the GL Suite software properly interfaces with other systems and/or confirms that the website we have developed properly supports your business process needs. Integration Testing ensures that all inputs and outputs to your application are in place and functioning according to business process standards. GL Solutions will update specifications (if necessary) and development code and re-execute testing as required to resolve issues.</p> <p><b><u>System Testing</u></b></p> <p>GL Solutions conducts System Testing on each business process from end to end. The primary goal of System Testing is to validate that the developed functionality meets specified business objectives. System Testing ensures that all functional deliverables execute without defect in the client's actual business process. This level of testing validates that all rules function correctly as part of the larger process and not in isolation. System Testing covers database, functional, and security testing.</p> <p>System Tests occur iteratively between GL Solutions' Development and Quality Assurance (QA) teams. We perform a separate set of tests for each business process. If QA identifies any issues, they report them to Development.</p>				
PTT-5	Describe how the system allows changes to be tested before implementation in the production database. Examples include changing licensure requirements, license type name changes, and scripts to replace data.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Suite provides a unique, seamless and flexible method of deploying configuration updates that also allows the updates to be tested across multiple environments. GL Suite captures all configuration updates through task numbers. When an update is ready to be deployed, a user-friendly interface allows users to simply promote the task number up from the previous environment to the new environment. For example, to deploy an update from DEV to SYS, a user would simply have to navigate to the Control Panel and promote the correct task number. The user would then access the SYS environment and accept the promotion. This method of deployment can be performed without any application downtime, and the update will be effective immediately upon promotion. All configuration updates are performed in the DEV environment and must be promoted through SYS, to UAT, and then to Production.</p>				

### **Interfaces/Imports/Exports Requirements**

The system is required to be able to interface with other computer systems as necessary.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
INT-1	Describe the automated approach to managing interfaces. HL7 standards are available at <a href="http://www.hl7.org">www.hl7.org</a>	X	X		
	<p>Response:</p> <p>GL Solutions configures business rules to automate interfaces. We configure business rules on a scheduled job which will facilitate the automated running of an interface.</p>				
INT-2	Describe how the system interfaces secure and protect the data and the associated infrastructure from a confidentiality, integrity and availability perspective.	X	X		
	<p>Response:</p> <p>GL Suite utilizes the same security and protection for interfaces as the application. Interfaces are configured to only communicate with specified third parties. In addition, we utilize secure transfer methods such as FTP.</p>				
INT-3	Describe how the system has the capability to notify system administrators/ system support staff if an interface is not available for any reason.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<p>Response: GL Solutions configures interfaces to record an exception log of errors that occur with the interface. We can configure business rules which will facilitate the automatic notification to system administrators/support staff if an interface fails or is unavailable for any reason.</p>					
INT-4	<p>Describe how the system provides necessary application program interfaces and/or web services to allow DHHS to create interfaces to and from the system.</p> <p>Exact number of imports/exports required. DHHS anticipates disciplinary databanks, compacts, schools, exam companies, and employers may interact with the system.</p>	X	X		



**Response:**

GL Solutions regularly creates custom interfaces, which allow for all manner of data exchange between our clients and third parties. GL Suite is capable of interfacing with any system that provides a well-documented API, and/or transfer files via secure FTP site. We build interfaces to support online credit card payments, criminal record checks, information updates, exam scheduling/scoring/administration, and more. Custom interfaces can provide nearly real-time or delayed transactions (whichever you choose).

GL Solutions uses various methods of integration to create customized third-party interfaces:

- GL Suite integrates with other applications and exchanges transactional data using XML, other .Net Web Services, and SSIS packages as long as a documented API is available.
- Business requirements that merely call a third-party application but do not exchange transactional data can be instantiated by configuring simple business rules using the Control Panel.
- For integration in which data flows from a third-party application to GL Suite and latency is not an issue, GL Solutions will work with the third-party application vendor to export data to a text file or database format on a regular schedule. GL Suite will monitor the folder destination of the export or the database table for changes. When a change is detected, GL Suite activates a custom application written by GL Solutions, which takes the third-party information, requests the corresponding GL Suite XML file from the business tier, and modifies the file based on the imported information. The modified XML file is then resubmitted to the business tier where business rules are applied and submitted to the data tier to update the Relational Database Management System (RDBMS).
- For integration where data flows from GL Suite to a third-party application and latency is an issue, GL Solutions builds custom export programs. The export programs store data from the data warehouse in a format specified by the third-party application. The third-party application must provide either an API to activate the upload of the information or a self-contained mechanism for uploading the file.
- For integration requiring data exchange via secure FTP, GL Solutions builds commands and/or scheduled jobs to create and post or to retrieve and process the specified file.

While GL Solutions is capable of designing a third-party interface for virtually any flat file or web service data exchange, below are the most common types of data interfaces we implement for clients.

- Exam scores / test results / Scantron data



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<ul style="list-style-type: none"> <li>• Payment processing information</li> <li>• Renewal data import/export</li> <li>• Continuing Education data (Hours, Courses, Providers, etc.)</li> <li>• Accounting information / financial data</li> <li>• Corporation data</li> <li>• Facility information</li> <li>• Medical data</li> <li>• Scanned documents (images, PDFs, etc.)</li> <li>• Audio files import</li> </ul>				
INT-5	Describe how the system supports data exchanges between components in real time so that data is always synchronous across the entire system, including any third-party components.	X	X		
	<p>Response:</p> <p>For integration where data flows from GL Suite to a third-party application and latency is an issue, GL Solutions builds custom export programs. The export programs store data from the data warehouse in a format specified by the third-party application. The third-party application must provide either an API to activate the upload of the information or a self-contained mechanism for uploading the file.</p>				
INT-6	Describe how the system has the ability to expand data access to additional systems that are consistent with current data standards.	X	X		



**Response:**

GL Solutions regularly creates custom interfaces that allow for all manner of data exchange between our clients' GL Suite systems and third parties. GL Suite is capable of interfacing with any system that provides a well-documented API.

We build interfaces to support online credit card payments, criminal record checks, information updates, exam scheduling, scoring, and administration, and more. Custom interfaces can provide nearly real-time or delayed transactions (whichever you choose).

**FISCAL SYSTEMS:** GL Suite will integrate with any fiscal system.

**CONTENT MANAGEMENT OR DOCUMENT MANAGEMENT SYSTEMS:** GL Suite will integrate with third-party content or document management systems. However, GL Suite does offer fully integrated content and document management capabilities. GL Suite will enable virtually any type of document to be uploaded and stored with a record including Adobe PDF files, text documents of any format, scanned records in any standard format, Microsoft Office, and even audio/video files. It will also enable licensees and the public to submit documents and documentation electronically with their online applications or complaints.

GL Suite automatically links uploaded documents to the record with which they are associated, making them accessible to authorized staff immediately or at any time in the future. Clicking a document's hyperlink within a record will directly call up the document. GL Suite's security determines who can and cannot access uploaded and stored documents and what permissions they have, just as it controls who has access to the record itself.

**WORKFORCE-MANAGEMENT SYSTEMS:** GL Solutions can create an interface to enable GL Suite to integrate with workforce-management systems. (For the various methods we employ to create interfaces, see below "Third-Party Interfaces".) If MPCA seeks to track agency staff time (e.g. check in/check out), GL Suite can support that functionality.

**MONITORING-DATA SYSTEMS:** GL Solutions can create an interface to enable MPCA to exchange data and information with Monitoring-Data Systems. (For the various methods we employ to create interfaces, see below "Third-Party Interfaces".)



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p><b>GEOGRAPHIC-INFORMATION SYSTEMS (GIS):</b> GL Suite can enable geocoding of location data to allow for interfacing with a Geographic Information System. It will link to your GIS system to display maps and GeoData for user-identified locations.</p> <p><b>EPA DATA-MANAGEMENT SYSTEMS:</b> GL Suite will interface with EPA data-management systems. (For the various methods we use to create interfaces, see below “Third-Party Interfaces”.)</p> <p><b>E-GOVERNMENT SYSTEMS:</b> GL Suite will interface with E-government systems. (For the various methods we employ to create interfaces, see below “Third-Party Interfaces”.)</p>				
INT-7	Describe how the system conducts end-to-end testing with interface partners, both external and internal, to ensure requirements are met.	X	X		
	<p>Response: GL Solutions regularly coordinates with third parties to facilitate testing of interfaces. We coordinate with third parties to schedule the test execution of the interface to verify that the interface performs to the approved specification. We typically provide a file in the appropriate format to perform the test.</p>				

### System Performance Requirements

This section describes requirements related to the systems' on-line performance, response times, and sizing from a system architecture standpoint.

\*NOTE\*: If your system has specific high availability or redundancy requirements, the requirements must be defined below (see PER-5).

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
PER-1	Describe the system performance functionality and monitoring tools.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response: We utilize DOT-COM Monitoring (<a href="http://www.dotcom-monitor.com/">http://www.dotcom-monitor.com/</a>) to monitor our hosted client sites. This monitoring system performs a license search on the sites every 10 minutes and alerts our tech support team via email and telephone if there is an outage or extreme delay in response for the site. Our colocation hosting site uses UPS backup circuits in the event of a power outage (circuits are on the generator as well to maintain uptime during power outage).</p> <p>GL Solutions provides clients with login credentials to GL Portal, which will allow the DLLC and GL Solutions to see the same set of metrics on system capacity, performance, and usage, including, but not limited to, metrics of system uptime and task and project scheduling.</p>				
PER-2	<p>Describe the minimum response times for the following functions, even at peak load. For example, expected response time will be within two (2) seconds 95% of the time, and under five (5) seconds for 100% of the time.</p> <ol style="list-style-type: none"> <li>1. Record Search Time</li> <li>2. Record Retrieval Time</li> <li>3. Transaction Response Time</li> <li>4. Print Initiation Time</li> <li>5. Subsequent Page Display Response Time</li> <li>6. Document Availability</li> </ol> <p>Note: These response times do not include network latency, which will be measured and reported by DHHS.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
Response:	<p>When measuring response times within a responsive network, GL Suite typically returns data from any transaction within 2 seconds of executing the request. Below are our typical response times for various functions.</p> <p>Response to user interaction &lt;= 1 second            Application Launch Time &lt;= 5 seconds            Generating a report or output &lt;= 10 seconds            Saving Data &lt;= 5 seconds            Navigating the application &lt;= 2 seconds</p>				
PER-3	<p>Describe how the system captures system downtimes, along with the causes of the downtimes where applicable. Describe the method and timing of communication to DHHS on downtimes.</p>	X	X		
Response:	<p>GL Solutions maintains policies and procedures in place to facilitate the activities required when unexpected downtime occurs. GL Solutions will notify clients of downtime as soon as possible, and notify once again once the system is back online. Our standard practices are to analyze the cause of the downtime and resolve any defects found to have caused the downtime.</p>				
PER-4	<p>Describe how the system supports concurrent users with minimal impact to response time, with the ability to increase the demand on the system by 50% without modification to the software or degradation in performance.</p>	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response: GL Suite's Microsoft SQL Server framework supports the high level of vertical and horizontal scaling.</p> <p><b>Vertical Scaling</b> GL Suite's Microsoft SQL Server platform supports the highest level of hardware scalability. It can be scaled vertically to support more than 8 processors and to handle as many as 256 logical processors. With a GL Suite system, you will also be able to scale your server up by adding memory and CPU resources without stopping database services (supported in SQL Server 2012's Hot-Add capability running on special equipment).</p> <p>GL Suite's Microsoft SQL Server platform can also be vertically scaled to keep pace with the newest hardware advancements. Microsoft SQL Server supports 64-bit technologies and non-uniform memory access (NUMA) hardware (both hardware NUMA and soft-NUMA).</p> <p>As well, GL Suite's Microsoft SQL Server platform supports up to 50 Database Engine and Analysis Services instances on one server.</p> <p><b>Horizontal Scaling</b> GL Suite's Microsoft SQL Server platform also offers multiple methods for scaling out your databases and tables. Among the various approaches it offers, are:</p> <ul style="list-style-type: none"> <li>• scalable shared databases</li> <li>• peer-to-peer replication</li> <li>• query notifications</li> <li>• Service Broker</li> <li>• data-dependent routing</li> <li>• scalable shared databases for analysis services</li> </ul>				



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
PER-5	Describe how the system is available online 24 hours a day and 7 days a week. Describe any known timeframes where the system will be unavailable for use.	X	X		
<p>Response:</p> <p>GL Solutions' servers are located at the Bend, Oregon data center, OneNeck. This location, within a few miles of our office, is not only convenient for timely support if issues are not able to be resolved remotely; it is in one of the safest zones in the United States. Our colocation facility offers significant measures to ensure the security and safety of your data:</p> <ul style="list-style-type: none"> <li>• Built-in redundancy with multiple diverse feeds to the internet backbone</li> <li>• Facilities are monitored with external and internal security systems</li> <li>• Generator back-up system to assure uninterrupted power</li> <li>• Prevention of a single point of failure in connectivity, power, fire, or climate control</li> <li>• Secure 24x7 card access</li> <li>• Inergen fire suppression (a clean agent fire suppression system, free of residues and corrosive by-products that may produce further property damage)</li> <li>• Flood monitoring sensors</li> <li>• UPS backup circuits in the event of a power outage (circuits are on the generator as well to maintain uptime during power outage)</li> </ul> <p>OneNeck's Bend, Oregon data center is Tier III certified and has received the prestigious Leadership in Energy and Environmental Design (LEED) Gold certification from the U.S. Green Building Council (USBGC). Features of the new Tier III certified data center include multiple, independent power and cooling distribution paths serving the IT equipment, dual-powered IT equipment, and concurrently maintainable site infrastructure that guarantees 99.99% availability.</p>					
PER-6	Describe how the system provides application performance monitoring and management capabilities, including any key performance indicators (KPI) or other metrics to measure and report system performance for the proposed system.	X	X		
<p>Response:</p> <p>We utilize DOT-COM Monitoring (<a href="http://www.dotcom-monitor.com/">http://www.dotcom-monitor.com/</a>) to monitor our hosted client sites. This monitoring system performs a license search on the sites every 10 minutes and alerts our tech support team via email and telephone if there is an outage or extreme delay in response for the site.</p>					







### **System and User Documentation Requirements**

DHHS requires the Contractor to develop, electronically store and distribute system documentation to include, at a minimum:

1. Reference Materials
2. System Documentation
3. A complete Data Dictionary

The Contractor must provide a complete Data Dictionary. The Data Dictionary is to include definitions of all data elements and tables where they reside.

Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
DOC-1	Describe how the system provides <u>on-line help</u> for all features, functions, and data element fields, as well as descriptions and resolutions for error messages, using help features including indexing, searching, tool tips, and context-sensitive help topics. Provide a sample copy of five (5) screen shots with on-line help.	X	X		



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
	<p>Response:</p> <p>GL Suite comes with an on-line help utility. The utility displays default help information related to specific features of the User Interface and software. Additionally, the utility allows for the creation of a customized .html to provide help for every field on every page of your system.</p> <p>The help system can be easily maintained by your staff. A “help” folder will reside directly on your server, and updates, additions, and changes can be made in plain English—no .html or other mark-up language required.</p> <p><b><u>Process Guides</u></b></p> <p>GL Solutions offers Process Guides available online that describe how to use your system; GL Solutions tailors the Process Guides to specifically address your software. GL Suite helps staff navigate through a complex business process with ease using the Process Guide. The guide, tailored to each business process designed in GL Suite, provides step-by-step instructions to complete a process from beginning to end. The guides eliminate any guesswork and keep track of where your staff are in a process, so each requirement is met.</p> <p>GL Suite’s Process Guide is designed along with the process, so each step is accurate. The step your staff is currently on stays highlighted, making it easy to keep track of where you are. Each step indicates whether it requires manual interaction, or if it will be automated. Underlined steps automatically navigate your staff to the screen they need with a simple click of the mouse. Clicking Save on a screen to save any changes will automatically go to the next step in the Process Guide. Some actions, such as creating an application on a licensee record, can even automatically be performed by simply clicking on the step.</p>				
DOC-2	Describe how the system provides <u>on-line user reference materials</u> with a printable version available. The documentation must include full mock-ups of all screens/windows and provide narratives of the navigation features for each window/screen. Provide a sample copy of five (5) pages of the user reference materials.	X	X		

**Response:**

With many software programs, configurations regularly cause the software and the specifications to get out of synch causing confusion and frustration. That is why GL Solutions created the Self-Documenting Specification (SDS).

The SDS is a printout of all screens associated to a particular business process. From the Configuration Manager or for any screen in the User Interface, users can generate an SDS that describes, in detail, any screen or an object such as a license type. Each SDS provides low-level details about a screen's fields and functionality and includes visual representations of screens with approximate field layout. It provides a report of real-time configuration settings in plain English, providing a strong basis for planning, communicating, and making system enhancements. Self-specifying functionalities include screens, fields, security, business rules, record relationships (associations), menus and more. In GL Suite, the SDS is created directly from the Configuration Manager, so it is always accurate.

Each SDS includes:

5. Cover Page with:
  - a. Client name
  - b. Business Process name
6. Table of Contents with:
  - a. A row for each ObjectType group
  - b. ObjectTypes grouped by Collection
7. Every ObjectType (screen, command, report, and query) referenced by:
  - a. the Phase 2 Functional Workflow Diagram
  - b. a business rule on an ObjectType, which is referenced in the Phase 2 Functional Workflow Diagram
8. Custom GUI sample mock ups (not full specifications, just display) including:
  - a. Custom Home Screens
  - b. Custom Subforms for all ObjectTypes in the SDS
  - c. Custom GUIs

# Childrens Residential Service Application

(License, 10674)

Type	Special-Fixed	Status	<input type="text"/>
Application Type	<input type="text"/>	Application Number	<input type="text"/>
Date Received	<input type="text"/>	Application Due Date	<input type="text"/>
Initial Approval Date	<input type="text"/>	Licensing Specialist	<input type="text"/>
Expedite	<input type="checkbox"/>	Enhanced Monitoring	<input type="checkbox"/>
Expedite Reason	<input type="text"/>	Final Approval Date	<input type="text"/>
Licensed As	<input type="text"/>	Previous Provider Number	<input type="text"/>
Description	<input type="text"/>	Comments	<input type="text"/>
Stipulations	<input type="text"/>	Created By	<input type="text"/>
Created	<input type="text"/>	Modified By	<input type="text"/>
Modified	<input type="text"/>		

## Security Settings for Childrens Residential Service Application

Security Group	Select	Append	Delete
Admin	X		X
Administrative Assistant	X		
Administrator	X	X	X
Assistant Commissioner	X		
Background Investigations Unit	X		
Commissioner	X		
Director	X		X
Human Rights	X		
Incident Management Team	X		
Investigative Unit	X		
Landscape Licensing			
Legal Manager	X		
Licensing Specialist	X		
Review Specialist	X		
Supervisor	X		

Business Rules for Childrens Residential Service Application

Process Order	Rule ID	Action Type	Rule Name	Rule Description
2	361684	Append	On append, update Date Received to system date	On append, update DateBeginning to system date
3	361685	Append	Create the requirement tasks and fee for processing an Childrens Residential License Application	On append, append requirements Task.Application Form Task Task.Certificate of Authority to Conduct Business in Virginia Task Task.Certificate of Occupancy Task Task.Position Descriptions Task Task.Building Floor Plan Task Task.Organizational Structure Task Task.Current Fire Inspection Task Task.Current Health Inspection Task Task.Description of Program Task Task.Evidence of Financial Resources for 90 Days Task Task.Inspection Preparation Task Task.On-Site Inspection Task Task.Policy and Procedures Task Task.Proposed Staffing Plan Task Task.Proposed Working Budget Task Task.Resumes of Identified Staff Task Task.Three References for Applicant Task Task.Listing of Legally Accountable Governing Body Task Task.References for Officers of the Board Task Task.Childrens Residential Provider Application Fee Task Invoice.Childrens Residential Provider Application Fee History.Application Workflow History.Service Program Information On append, if AppType=Modification, append requirements Task.Application Form Task Task.Certificate of Authority to Conduct Business in Virginia Task Task.Certificate of Occupancy Task Task.Copies of all Position Descriptions Task Task.Current Fire Inspection Task Task.Current Health Inspection Task Task.Description of Program Task Task.Evidence of Financial Resources for 90 Days Task Task.Inspection Preparation Task Task.On-Site Inspection Task Task.Policy and Procedures Task Task.Proposed Staffing Plan Task Task.Proposed Working Budget Task Task.Resumes of Identified Staff Task Task.Childrens Residential Provider Application Fee Task Invoice.Childrens Residential Provider Application Fee History.Modification Application Workflow History.Service Program Information
4	362456	Append	On append, if Application Type is Modification, append requirements	Task.Application Form Task Task.Certificate of Authority to Conduct Business in Virginia Task Task.Certificate of Occupancy Task Task.Copies of all Position Descriptions Task Task.Current Fire Inspection Task Task.Current Health Inspection Task Task.Description of Program Task Task.Evidence of Financial Resources for 90 Days Task Task.Inspection Preparation Task Task.On-Site Inspection Task Task.Policy and Procedures Task Task.Proposed Staffing Plan Task Task.Proposed Working Budget Task Task.Resumes of Identified Staff Task Task.Childrens Residential Provider Application Fee Task Invoice.Childrens Residential Provider Application Fee History.Modification Application Workflow History.Service Program Information

**The Childrens Residential Service Application Screen Contains the Following List Value Properties**

**List Values for Status (LicenseStatusID)**

- Approved
- Closed
- Denied
- Pending
- Pending Submission
- Withdrawn

**List Values for Application Type (AppType)**

- Change of Ownership
- Initial
- Modification

**List Values for Expedite Reason (Expedite)**

- An identified service need and identified service location need.
- State Initiative
- The provider license was closed due to not obtaining clients during a Conditional license.
- The provider was previously a licensed provider and was closed due to failing to have individuals within twelve months.
- The provider was previously a licensed provider and was closed due to not submitting a renewal application.

**List Values for Service (Service)**

- 14-001
- 14-002
- 14-003
- 14-004
- 14-005
- 14-006
- 14-007
- 14-008
- 14-009
- 14-010
- 14-011
- 14-012
- 14-013
- 14-014
- 14-015

Security Settings for Properties on the Childrens Residential Service Application Screen		
Security Group	Select	Update
Security Settings for Type (ObjectTypeID)		
Admin	X	
Administrative Assistant	X	
Administrator	X	
Assistant Commissioner	X	
Background Investigations Unit	X	
Commissioner	X	
Director	X	
Human Rights	X	
Incident Management Team	X	
Investigative Unit	X	
Landscape Licensing		
Legal Manager	X	
Licensing Specialist	X	
Review Specialist	X	
Supervisor	X	
XXXXXXXXXXXX	X	
XXXXXXXXXXXX	X	
Security Settings for Status (LicenseStatusID)		
Admin	X	X
Administrative Assistant	X	X
Administrator	X	X
Assistant Commissioner	X	X
Background Investigations Unit	X	
Commissioner	X	X
Director	X	X
Human Rights	X	
Incident Management Team	X	
Investigative Unit	X	
Landscape Licensing		
Legal Manager	X	X
Licensing Specialist	X	X
Review Specialist	X	X
Supervisor	X	X
XXXXXXXXXXXX	X	
XXXXXXXXXXXX	X	





Business Rules for Properties on the Childrens Residential Service Application Screen

Property Label (Name)	Order	Rule ID	Action Type	Rule Name	Rule Description
Status (LicenseStatusID)	1	361687	Update	Create the Childrens Residential Service License	On update to Approved, append License.Childrens Residential Service License
Status (LicenseStatusID)	2	362037	Update	On update to Approved, if Application Type is Initial, then update parent Provider Application to Approved	*** DISABLED *** On update to Approved, if AppType=Initial, then update parent License.Provider Application.LicenseStatusID to Approved
Status (LicenseStatusID)	3	361688	Update	On update to Approved, update Commissioner Approved Date to system date	On update to Approved, update DateEnding to system date
Status (LicenseStatusID)	4	361689	Update	On update to Denied, append Application Denial letter	On update to Denied, append Correspondence.Application Denied letter
Status (LicenseStatusID)	5	362036	Update	On update to Denied, if Application Type is Initial, update parent Provider Application Status to Denied	*** DISABLED *** On update to Denied, if AppType=Initial, update parent License.Provider Application.LicenseStatusID to Denied
Status (LicenseStatusID)	6	362034	Update	Create the Application Closed Letter	On update to Closed, append Correspondence.Application Closed Letter Printed
Status (LicenseStatusID)	7	362035	Update	On update to Closed, if Application Type is Initial, update parent Provider Application Status to Closed	*** DISABLED *** On update to Closed, if AppType=Initial, update parent License.Provider Application.LicenseStatusID to Closed
Status (LicenseStatusID)	8	380373	Update	On update to Pending, Send Application Submitted Email	On update to Pending, Send Application Submitted Email
Licensing Specialist (StaffIDAssigned)	1	378765	Update	If associated Location does not have a Licensing Specialist assigned, then update it to this Licensing Specialist	On update, if there are any child License Service Application to Entity Location Association where the AssociationStatusID=Current, AND the associated Entity.Location.StaffIDAssigned is blank or null, then set the associated Entity.Location.StaffIDAssigned to the same value selected here
Licensing Specialist (StaffIDAssigned)	2	379544	Update	Add the assigned staff to the entity	On Update, Add StaffIDAssigned, EntityID to EntitySecurity If not already present. Remove StaffIDAssigned, EntityID from EntitySecurity for previous StaffIDAssigned IF PreviousStaffIDAssigned is not in the parent Entity has previous staff=StaffIDAssigned or a License.*Service Application has an Association.*Service Application to Entity Location Association with previous staff and the association status is Current or Pending



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
DOC-3	Describe how the system will have <u>on-line reporting reference materials</u> with a printable version available that includes descriptions, definitions, and layouts for each standard report. Include definitions of all selection criteria parameters and each report item/data element, all field calculations defined in detail, and field and report titles. Provide a sample copy of five (5) pages of the reporting reference materials.	X	X		



**Response:**

GL Solutions provides technical specifications for all pre-defined reports configured within the software system. The specifications are presented for review prior to the configuration of the report to identify any potential defects. Once approved, the specification will be configured to the approved specification. The specification will provide details such as the selection criteria, the report layout, dynamic fields and mapping to each individual property. Below we have provided screenshots of a report specification.

# Report Specification

**Client:** NEDAS

**Task #:** 390130

**Report Name:** Board Meeting Docket Report

**Description:** This report will be used to pull in all information on Claims that will be going to the upcoming board meeting. It will be printed off and will be used to keep track of the over all outcome from the Board Meeting. It is used in accordance with the Board Meeting Agenda, and should pull in the same exact records.

## Change Log

Date	Task #	SPS Version #	Description of Change	Comments
5/2/2019	390130	1.0	Created Report	IH
5/6/19	390130	1.1	Updated D08-D12, D17, D19, D20	IH
9/9/19	403290	1.2	Updated Sort	IH
9/18/19	408151	1.3	Updated static text to say "Risk Manager Recommendation" Updated the mapping for the risk manager recommendation (D23) date to pull from date received	IH
10/10/19	408175	1.4	Added appeal from claimant	IH
11/5/19	408157	1.5	Updated D21 to pull in Date Received Updated Data Notes & Target Screenshots	IH

## Requirements:

<b>Description</b>	This report will be ran as a batch, and will pull in all Claim's where the SCB Date (State Claims Board Date) is the same as the date entered in the required one screen. It will be used to pull in a summary of the Claims that will be taken to the meeting. It will include basic information for the Claim, the Claimant, and will have a section at the bottom to keep track of the Board meeting member recommendations																					
<b>Report Output</b>	PDF																					
<b>Run From</b>	Main Screen: Report > Board Meeting Docket																					
<b>Input Parameters</b>	SCB Date (Date) - Required																					
<b>Selection Criteria</b>	Select all Entity.Claim where the Entity.Claim.DateRequested is the same as the date entered in the Input Parameter, THEN generate a unique page for each Entity Claim to Entity Individual Association (Individual Claimant) (50535) and Entity Claim to Entity Business Association (Business Claimant) (50537) where AssociationStatusID=Current																					
<b>Sort</b>	Group the reports by the Agency, then sort by the number of Claims by Agency ASC. EX: If three agencies have claim's that are going to the SCB Meeting, one has one claim, another has two, and another has four it would sort: 1, 2, 4 This report should sort the exact same way as the Board Meeting Agenda																					
<b>Format – Font</b> <i>(note required fonts)</i>	Arial 11pt																					
<b>Format Margins</b> <i>(note required margins)</i>	Top:0.31" Bottom: 0.13" Left: 1" Right: 1"																					
<b>Format Window</b> <i>(note required margins)</i>	N/A																					
<b>Pre-printed / Perforated / Specialty Paper</b>	No																					
<b>Page Size</b>	8.5 x 11																					
<b>Page Breaks</b>	Page should break after the following box:  <table border="1" data-bbox="510 1318 1209 1422"> <thead> <tr> <th colspan="7">Action Taken:</th> </tr> <tr> <th colspan="2">Albin</th> <th colspan="2">Range</th> <th colspan="2">Jackson</th> <th>Amount</th> </tr> </thead> <tbody> <tr> <td>Approve</td> <td>Deny</td> <td>Approve</td> <td>Deny</td> <td>Approve</td> <td>Deny</td> <td>\$</td> </tr> </tbody> </table>	Action Taken:							Albin		Range		Jackson		Amount	Approve	Deny	Approve	Deny	Approve	Deny	\$
Action Taken:																						
Albin		Range		Jackson		Amount																
Approve	Deny	Approve	Deny	Approve	Deny	\$																
<b>Header</b>	N/A																					
<b>Footer</b>	N/A																					

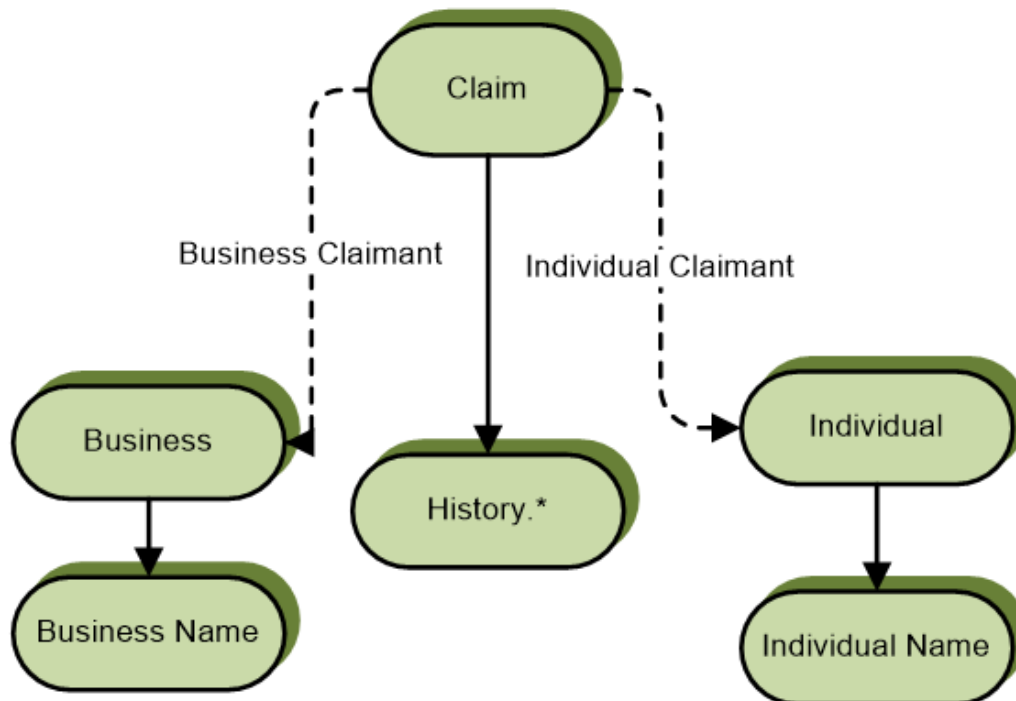
**Data Source:**

*The data for this report is coming from the following:*

- Entity.Claim(10585)
- Entity.Individual(4)
- Entity.Business(10587)
- Entity Name.Individual Name(5)
- Entity Name.Business Name(10725)
- History.Agency Recommendation(10661)
- History.Risk Manager Recommendation (10621)
- History.Attorney Information(10591)

**Relationships:**

- Entity Claim to Entity Business Association (Business Claimant) (50537)
- Entity Claim to Entity Individual Association (Individual Claimant) (50535)



**Report Layout**

Date<sup>D01</sup>



**Docket Sheet**

**Claim # and Type of Claim:** FileNumber<sup>D02</sup> ClaimType<sup>D03</sup>

**Claimant Name:** First<sup>D04</sup> Middle<sup>D05</sup> Last<sup>D06</sup> Business<sup>D07</sup>    **Loss Date:** LossDate<sup>D14</sup>  
**Claimant Address 1:** Street1<sup>D08</sup> Street2<sup>D09</sup>    **Date Filed:** DateFiled<sup>D15</sup>  
**Claimant City:** City<sup>D10</sup>    **Attorney:** Attorney<sup>D16</sup>  
**Claimant State:** State<sup>D11</sup>  
**Claimant Postal Code:** Zip<sup>D12</sup>  
**Amount Requested:** Amount<sup>D13</sup>

**County:** County<sup>D17</sup>  
**Agency:** Agency<sup>D18</sup>

**Description:** Description<sup>D20</sup> Date<sup>D19</sup>

**Agency Recommendation:** Recommendation<sup>D22</sup> Date<sup>D21</sup>

**Risk Manager Recommendation:** Recommendation<sup>D24</sup> Date<sup>D23</sup>

**Appeal From Claimant:** Comments<sup>D26</sup> Date<sup>D25</sup>

**Action Taken:**

Albin		Ramge		Jackson		Amount
Approve	Deny	Approve	Deny	Approve	Deny	\$

Req #	Requirement			(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
<b>Dynamic Content Mapping</b>							
	Dynamic Content Label	Additional Requirements	Database Mapping				
D01	Date	This will display the current system date for the day that this report is ran					
D02	FileNumber	This will display from the Claim that is found in the Selection Criteria	Entity.Claim.FileNumber(60)				
D03	ClaimType	This will display from the Claim that is found in the Selection Criteria	Entity.Claim.ClaimType(10516)				
D04	First	Display from the Individual that is associated to the Claim through the Entity Claim to Command New Individual Association (Claimant) (50612) association, where AssociationStatusID=Current If no valid data exists, suppress Where EntityNameStatusID=Current	Entity Name.Individual Name.FirstName(61)				
D05	Middle	Display from the Individual that is associated to the Claim through the Entity Claim to Command New Individual Association (Claimant) (50612) association, where AssociationStatusID=Current If no valid data exists, suppress Where EntityNameStatusID=Current	Entity Name.Individual Name.MiddleName(74)				
D06	Last	Display from the Individual that is associated to the Claim through the Entity Claim to Command New Individual Association (Claimant) (50612) association, where AssociationStatusID=Current If no valid data exists, suppress Where EntityNameStatusID=Current	Entity Name.Individual Name.LastName(70)				
D07	Business	Display from the Business that is associated to the Claim through the Entity Claim to Entity Business Association (Business Claimant) (50537) association Where AssociationStatusID=Current If no valid data exists, suppress Where EntityNameStatusID=Current	Entity Name.Business Name.BusinessName(14)				
D08	Street1	Display from the most recent by DateBeginning Mailing Address that is a child of the Individual or Business Entity that is associated to the Claim through the Entity Claim to Entity * Association where AddressStatusID=Current AssociationStatusID=Current If no current Mailing Address exists, pull from the Most Recent by DateBeginning Physical Address where AddressStatusIS=Current	Address.*.Street1(110)				



Req #	Requirement	(1) Comply	(a) Core	(b) Custom	(c) 3rd Party
DOC-4	Describe how the system provides an entity-relationship model, class diagram, and a table of contents with data dictionary for report creation by the State that is regularly updated and includes table, field, and relationships.	X	X		
Response: Please see our response to DOC-2 for information on the SDS.					
DOC-5	Describe how the system provides a data dictionary which includes user-defined fields and tables which can be viewed online and kept updated for each modification.	X	X		
Response: Please see our response to DOC-2 for information on the SDS.					





## Introduction to Supporting Documents

In order to sufficiently detail the capabilities of the products and services offered by GL Solutions, and where details serve to answer multiple questions or requirements, rather than duplicate our in-line responses, we have included additional supporting documents in the form of attachments. These have been referenced throughout our responses to the DHHS's various stated Requirements above.



## Supporting Document 1 – Financial Statements

We have provided on the following pages our last two years of audited financial statements.



# CONSOLIDATED FINANCIAL STATEMENTS

For the Year Ended December 31, 2017



**G.L. SUITE, INC. AND  
CONSOLIDATED ENTITY**

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Consolidated Statement of Changes in Equity	4
Consolidated Statement of Cash Flows	5
Notes to Consolidated Financial Statements	6-15

## INDEPENDENT ACCOUNTANT'S REVIEW REPORT

To Management  
G.L. Suite, Inc.  
Bend, Oregon

We have reviewed the accompanying consolidated financial statements of GL Suite, Inc., which comprise the consolidated balance sheet as of December 31, 2017, and the related consolidated statements of income, changes in equity, and cash flows for the year then ended, and the related notes to the consolidated financial statements. A review includes primarily applying analytical procedures to management's financial data and making inquiries of company management. A review is substantially less in scope than an audit, the objective of which is the expression of an opinion regarding the consolidated financial statements as a whole. Accordingly, we do not express such an opinion.

### **Management's Responsibility for the Financial Statements**

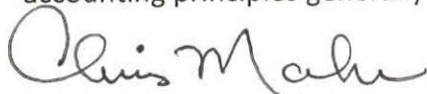
Management is responsible for the preparation and fair presentation of these consolidated financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of the consolidated financial statements that are free from material misstatement whether due to fraud or error.

### **Accountant's Responsibility**

Our responsibility is to conduct the review engagement in accordance with *Statements on Standards for Accounting and Review Services* promulgated by the Accounting and Review Services Committee of the AICPA. Those standards require us to perform procedures to obtain limited assurance as a basis for reporting whether we are aware of any material modifications that should be made to the consolidated financial statements for them to be in accordance with accounting principles generally accepted in the United States of America. We believe that the results of our procedures provide a reasonable basis for our conclusion.

### **Accountant's Conclusion**

Based on our review, we are not aware of any material modifications that should be made to the accompanying consolidated financial statements in order for them to be in accordance with accounting principles generally accepted in the United States of America.



Chris Mahr, Principal

September 7, 2018

**G.L. SUITE, INC. AND  
CONSOLIDATED ENTITY**

**CONSOLIDATED BALANCE SHEET  
December 31, 2017**

**ASSETS**

**Current Assets:**

Cash and Cash Equivalents	\$	372,063
Accounts Receivable, net allowance for doubtful accounts of \$253,578		643,385
Work in Progress		517,466
Current Install Receivables		185,749
Other Current Assets		20,187
<b>Total Current Assets</b>		<b>1,738,850</b>

Property and Equipment, net of Accumulated Depreciation of \$399,727		188,340
--	--	---------

**Other Assets:**

Noncurrent Install Receivables		132,227
Intangible Assets, net of Accumulated Amortization of \$403,493		233,688
Notes Receivable - Officers		152,275
<b>Total Other Assets</b>		<b>518,190</b>
<b>TOTAL ASSETS</b>	<b>\$</b>	<b>2,445,380</b>

**LIABILITIES AND STOCKHOLDER'S EQUITY**

**Current Liabilities:**

Accounts Payable	\$	30,607
Payroll Liabilities		263,544
Payroll Taxes Payable		12,903
Current Portion of Long-Term Debt		110,387
Unearned Income		939,140
Deferred Tax Liability - Current		-
<b>Total Current Liabilities</b>		<b>1,356,581</b>

**Long-Term Liabilities:**

Notes Payable (Net of Current Portion)		452,089
Deferred Tax Liability - Noncurrent		37,387
<b>Total Liabilities</b>		<b>1,846,057</b>

**Stockholder's Equity:**

Common Stock (No Par Value, 9,000,000 Shares Authorized, 941,500 shares issued and outstanding)		192,334
Paid in Capital		69,714
Retained Earnings		337,099
<b>Total G.L. Suite, Inc. Stockholder's Equity</b>		<b>599,147</b>
Non-controlling Interest		176
<b>Total Stockholder's Equity</b>		<b>599,323</b>
<b>TOTAL LIABILITIES &amp; EQUITY</b>	<b>\$</b>	<b>2,445,380</b>

See accompanying notes and independent accountants' review report



**G.L. SUITE, INC. AND  
CONSOLIDATED ENTITY**

**CONSOLIDATED INCOME STATEMENT  
For the Year Ended December 31, 2017**

Sales		\$ 4,168,851
Cost of Goods Sold		<u>1,894,440</u>
Gross Profit		2,274,411
Other operating expenses		
Administrative Expenses:		
Computer	38,790	
Dues & subscriptions	8,919	
Employee benefits	53,741	
Insurance	16,192	
Office, miscellaneous	24,297	
Payroll Taxes	78,516	
Licenses & permits	8,746	
Professional Fees	39,327	
Rent	182,895	
Retirement	30,771	
Salaries	811,524	
Telephone & utilities	67,241	
Training & education	42,387	
Travel & meals	<u>32,589</u>	1,435,935
Sales and Marketing Expenses		
Advertising	20,118	
Sales Salaries	137,547	
Payroll taxes and benefits for sales staff	15,190	
Other marketing expenses	<u>26,740</u>	199,595
Research & development		
Research & development salaries	254,190	
Payroll taxes and benefits for R&D staff	26,694	
Other research & development expenses	<u>6,771</u>	287,655
Amortization & Depreciation Expense		<u>158,780</u>
Total operating expenses		2,081,965
Write off receivables		<u>276,917</u>
Income from Operations		<u>(84,471)</u>
Other Income (Expense):		
Interest Income		4,358
Miscellaneous Income		825
Interest Expense		(46,612)
Current Income Tax Expense		(18,968)
Deferred Income Tax Expense		-
Total Other Income (Expense)		<u>(60,397)</u>
Net Income (Loss)		(144,868)
Less income attributable to Non-controlling interest		<u>200,777</u>
Net income (loss) attributable to GL Suite, Inc.		<u>\$ (345,645)</u>

See accompanying notes and independent accountants' review report

**G.L. SUITE, INC. AND  
CONSOLIDATED ENTITY**

**CONSOLIDATED STATEMENT OF CHANGES IN EQUITY  
For the Year Ended December 31, 2017**

	GL Suite, Inc.			Non-controlling	Total
	Common Stock	Paid-in-Capital	Retained Earnings	Interest	
Beginning balance - January 1, 2017	\$193,034	\$69,714	\$682,744	\$76	\$945,568
Net Income			(345,645)	200,777	(144,868)
Contributions	-				
Distributions	-			(200,677)	(200,677)
Issuance of stock	5,250				5,250
Redemption of stock	(5,950)				(5,950)
Rounding					-
Ending balance - December 31, 2017	<u>\$192,334</u>	<u>\$69,714</u>	<u>\$337,099</u>	<u>\$176</u>	<u>\$599,323</u>

See accompanying notes and independent accountants' review report

**G.L. SUITE, INC. AND  
CONSOLIDATED ENTITY**

**STATEMENT OF CASH FLOWS  
For the Year Ended December 31, 2017**

<b>Cash flows from Operating Activities:</b>	
Net Income (Loss)	\$ (144,868)
<b>Adjustments to Reconcile Net Income to Net Cash Provided by Operating Activities:</b>	
Depreciation and Amortization	158,780
<b>Decrease (Increase) in Assets:</b>	
Accounts Receivable	467,943
Work in Progress	167,140
Other Current Assets	(43,910)
Deferred Tax Asset	8,105
Increase in accrued interest from officer note receivables	(4,228)
Noncurrent Receivables	221,732
<b>Increase (Decrease) in Liabilities:</b>	
Accounts Payable	(8,629)
Accrued Payroll	(130,156)
Other Current Liabilities	100
Unearned Income	(208,256)
Deferred Tax Liability	(81)
<b>Net Cash Provided (Used) by Operating Activities</b>	<u>483,671</u>
<b>Cash Flows from Financing Activities:</b>	
Payment of Long-Term Debt	(121,029)
Decrease in line of credit borrowings	(1,663)
Distributions to owners	(200,677)
Common Stock Issued / (Redeemed)	(700)
<b>Net Cash Provided (Used) by Financing Activities</b>	<u>(324,069)</u>
<b>Net Cash Increase for Period</b>	159,602
<b>Cash and Cash Equivalents, Beginning of Year</b>	<u>212,461</u>
<b>Cash and Cash Equivalents, End of Year</b>	<u><u>\$ 372,063</u></u>
<b>Interest paid during 2017</b>	<u><u>\$ 46,612</u></u>

See accompanying notes and independent accountants' review report

## NOTE A-SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (SSAP)

### Nature of Operations

The Company designs government regulatory software, tailored to meet the needs of each agency. The software allows the agencies to automate and manage licensing, permitting and registration. The Company also provides ongoing software support services, software hosting, and software training.

### Use of Estimates

Management uses estimates and assumptions in preparing financial statements. Those estimates and assumptions affect the reported amounts of assets and liabilities, the disclosure of contingent assets and liabilities, and the reported revenues and expenses. Actual results could differ from these estimates.

### Basis of Consolidation

In applying the provisions of Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) 810 Consolidation, formally Interpretation (FIN) 46R Consolidation of Variable Interest Entities, the Company evaluated Automation Design, LLC (AD) and has determined that the entity needs to be consolidated. Therefore, consolidated financial statements include the accounts of the Company and Automation Design, LLC which is a variable interest entity in which the Company is deemed to be the primary beneficiary. All intercompany transactions and balances have been eliminated in the consolidation.

The Company's determination to include AD was based on a review of AD's types of variability and support for consolidation based on variable interests between the Company and AD. The Company considers AD's primary variability's to be operations risk, activities and contractual arrangements. Specifically, AD has an agreement to receive royalties from the Company as discussed below. All of AD's revenue is received from the Company. Additionally, AD is a guarantor for the Company's line of credit and loan. AD entity was formed for the benefit of the Company. The majority of the stockholders of the Company own 78% of AD. In determining whether this variable interest should be consolidated, the Company, as provider of the primary revenue source for AD, concluded that they would receive a majority of AD's expected residual returns, absorb a majority of AD's expected losses or both.

Automation Design, LLC (AD) was organized March 16, 2001 to hold the rights to software and related intellectual property for use by governmental licensing agencies. AD has an agreement with the Company which calls for the Company to make royalty payments in exchange for an exclusive license to use and sell AD's software products throughout the world. The terms of the agreement expire on December 31, 2017 but have historically been renewed annually.

Bill Moseley, Eric Staley and Adam Ridlon, who collectively own approximately 85% of the outstanding shares of the Company, own 39%, 39% and 22% of the outstanding ownership units of Automation Design, LLC, respectively.

## **NOTE A-SSAP (Continued)**

AD's primary assets consist of software licenses. Book values of assets and liabilities have been used to consolidate Automation Design, LLC. The carrying amount of the cash and software at December 31, 2017 is \$176. There is no debt as of December 31, 2017. AD files taxes based on a December 31st year-end. Activity has been reported through December 31, 2017 for the consolidation.

The members' equity of Automation Design, LLC is classified as Non-controlling interest in the Consolidated Balance Sheet and the income or loss attributable Automation Design, LLC is classified as Non-controlling Interest Share in the Consolidated Statement of Income and Statement of Changes in equity and is subtracted or added after total consolidated net income has been presented.

### **Reclassification of Prior Period Financial Statements**

Certain items previously reported have been reclassified to conform with the current year's presentation.

### **Cash and Cash Equivalents**

The Company only holds cash in operating checking accounts and money market accounts in FDIC insured banks. From time-to-time, there can be a negative balance shown in the operating account, which is a timing issue due to the lag between the posting of payments and the transfer of funds from the money market account. At times during the year, balances may exceed FDIC insurance limits.

### **Trade Accounts Receivable**

Trade accounts receivable are stated at the amount management expects to collect from outstanding balances. Management evaluates existing outstanding accounts receivable to determine the allowance for uncollectible accounts. The history of uncollectible accounts has not been material. The receivables are all from governmental regulatory agencies with contracts requiring payment for the product provided. In 2017, the Company recognized a one-time bad debt largely due to an unresolvable contract dispute with the North Carolina Department of Public Safety. As of 12/31/17, there was one account over 90 days in arrears. This accounted for 28% of outstanding accounts receivable. Management does not expect to collect this receivable and has recorded it as an allowance for doubtful accounts. For concentration of credit risk related to the Company's trade receivables, see Note H.

### **Fair Value of Financial Instruments**

The fair value of the Company's financial instruments, which include items such as accounts receivable, loans receivable, accounts payable, and notes payable approximate their carrying amounts at December 31, 2017.

## **NOTE A-SSAP (Continued)**

### **Inventory**

The Company carries no inventory of supplies as they are immaterial and are expensed as acquired. The Company does, however, carry a balance in Work-in-Progress (WIP) which represents the direct and allocated indirect expenses relating to specific uncompleted jobs. Such expenses are primarily comprised of allocated labor and related expenses which have not yet been billed to the client. Debit balance client accounts are reported on the Balance Sheet as WIP. Credit balance client accounts are reported on the Balance Sheet as Unearned Income.

### **Other Assets**

In 2013, the Company completed research and development on its new software platform, GLSuite6, and began production. All subsequent production costs were capitalized. The software was completed and placed in service November 1, 2014. Total capitalized software production costs as of 12/31/2017 were \$621,208. Of these, \$608,733 represents the cost of GLSuite6 that was completed on November 1, 2014. Capitalized software costs are amortized over a 60-month period. Amortization costs for the year ended December 31, 2017 on this software was \$124,242.

### **Compensated Absences**

Effective during fiscal year 2017, the Company changed in policy for accrued leave time. The Company's policy requires all employees to use all accrued leave within 12 months of accrual. No accrued leave is paid on termination. Under this method, accrued leave time is recognized when the time is taken rather than earned. The amount of earned accrued leave at year end has not been determined by management, however, management believes that the unused accrued leave at year end would not be material.

### **Revenue Recognition**

There are two phases to each contract; Installation and support. After installation is complete, Company enters a period of tech support which is often 60 months or longer.

The Company provides for installations in two models (a)Turnkey and (b)GL Simple. Most installation services sold by Company are turnkey. In a turnkey installation, customers are invoiced as deliverables are accepted by customer. In a GL Simple installation, the Company charges a fixed monthly fee during the entire installation period based on a fixed per licensed user cost which is correlated to expected effort by Company to provide the service. The Company estimates that a GL Simple installation will last seven months, unless otherwise agreed with the client, and fully invoices and recognizes the monthly fees as installation revenue during that period. During the support phase, all invoices are fully recognized as support sales.

Whether for turnkey or GL Simple installations, the Company reports Work in Progress inventory (WIP) for time spent on the process. The Company recognizes installation revenue and, expenses WIP when the Company meets a milestone specified in the contract which allows them to invoice.

## **NOTE A-SSAP (Continued)**

### **Revenue Recognition – continued**

For support services, the Company invoices at a frequency specified in the contract. Invoices are listed as Unearned Income until the monthly support period transpires, at which point the monthly amount is recognized as revenue.

### **Company Stock**

In addition to the Company's 9,000,000 shares of authorized common stock, the Company has authorized 1,000,000 shares of preferred stock (no par value) of which none were outstanding as of December 31, 2017. No preemptive rights exist with respect to the shares of stock. Subject to any preferential rights granted to the series of preferred stock, the holders of the common stock are entitled to receive dividends at a rate and time as provided by the Board of Directors. There were no dividends paid or accrued during the year ending December 31, 2017.

### **Advertising**

The Company expenses all advertising costs as incurred. Advertising costs include direct advertising and promotional events. Advertising costs expensed during the year ending December 31, 2017 were \$20,118.

### **Depreciation**

The Company's equipment and leasehold improvements are depreciated using primarily the straight-line method, with a useful life of five to ten years.

### **Presentation of Sales Taxes**

The Company's accounting policy is to exclude the tax collected and remitted to the State from revenues and cost of sales.

### **Income Taxes**

Income taxes consist of taxes currently due plus deferred taxes related primarily to differences between the amount of taxable income and pretax financial income and between tax basis of assets and liabilities and their reported amounts in the financial statements. The deferred tax assets and liabilities represent the future tax return consequences of those differences, which will either be deductible or taxable when the assets or liabilities are recovered or settled. Deferred tax assets and liabilities are reflected at income tax rates applicable to the period in which the deferred tax assets and liabilities are expected to be realized or settled. As changes in tax laws or rates are enacted, deferred tax assets and liabilities are adjusted through the provision for income taxes. See Note L for further discussion of income taxes.

**NOTE B-RELATED PARTY TRANSACTIONS**

As discussed in Note A, the Company has a licensing agreement with Automation Design, LLC (AD). Bill Moseley, Eric Staley, and Adam Ridlon, who collectively own approximately 85% of the outstanding shares of the Company, own 39%, 39%, and 22% of the outstanding ownership units of AD, respectively. AD holds the rights to software and related intellectual property for use by governmental licensing agencies. According to the licensing agreement, AD grants the Company “an exclusive license in the Government Field under the License Copyrights and Software to make, have made, use and sell Licensed Products throughout the world, subject to the terms of this agreement”.

The terms of the agreement call for the Company to pay AD \$24,000 plus the greater of (a) 5% of the net sales price of each licensed product sold by the Company, plus 25% of the sublicense income received from the sub-licensee should the Company grant a sublicense to a sub-licensee that is not a related company, or (b) \$80,000. Total amounts paid to AD during 2017 were \$275,927. From time to time, the Company receives payment for maintenance of AD’s core product code. During 2017, payments in the amount of \$75,000 were received by the Company.

The terms of the agreement expired on 12/31/2017, but historically have been renewed annually.

**NOTE C-CASH**

All accounts are covered by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000. At December 31, 2017, cash balances exceeded the FDIC coverage limit by \$122,891.



GL SUITE, INC.  
 NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
 DECEMBER 31, 2017

**NOTE D-DEPRECIABLE AND AMORTIZABLE ASSETS**

Equipment and Intangibles consist of the following as of 12/31/2017:

**Net Book Value - Tangible Assets**

Computer Hardware	\$ 546,856
Office Equipment & Furniture	41,211
	<u>588,067</u>
Accumulated Depreciation	<u>(399,727)</u>
Net Book Value	<u>\$ 188,340</u>

Depreciation expense for the year ended 12/31/2017 was \$33,653.

**Net Book Value - Intangible Assets**

GL6 Software	\$ 608,733
Start up Costs and Other	28,448
	<u>637,181</u>
Accumulated Amortization	<u>(403,493)</u>
Net Book Value	<u>\$ 233,688</u>

Amortization expense for the year ended 12/31/2017 was \$125,126.

**Future Amortization Expense**

2018	\$ 125,127
2019	104,836
2020	1,509
2021	885
2022	688
Thereafter	643
	<u>\$ 233,688</u>

**GL SUITE, INC.**  
**NOTES TO CONSOLIDATED FINANCIAL STATEMENTS**  
**DECEMBER 31, 2017**

**NOTE E-LINE OF CREDIT**

The Company utilizes a line of credit from Washington Federal Bank (WAFED), which originated September 28, 2015. The maximum available credit facility through this line of credit as of December 31, 2017 is \$800,000. The line is payable at a variable interest rate based upon prime rate plus a margin of 1.000%. The rate for 2017 was 4.5%. There was no balance owing as of December 31, 2017. The line is subject to the following covenants.

- Current Ratio of 1.20 to 1.00 measured quarterly: 12/31/17 current ratio was 1.282
- Debt Service Coverage Ratio of 1.20 to 1.00: 12/31/17 coverage ratio was .512 on a consolidated basis. The ratio for GL Suite, Inc. excluding consolidation of Automation Design, LLC is < .767 >.

The line is guaranteed by Bill Moseley, Eric Staley and Automation Design, LLC.

**NOTE F-LONG-TERM DEBT**

The Company's long-term debt consists of a single loan with WAFED entered into September 28, 2015. The loan is guaranteed by Bill Moseley, Eric Staley and Automation Design, LLC.

The loan was for \$800,000, for a term of seven years maturing on 10/15/2022. The note is secured by the life insurance policies on the lives of and, the principal residences of the Company's two largest shareholders, Bill Moseley and Eric Staley. The loan is further secured by the Company's trade accounts receivable, work in progress, install receivables and equipment. The loan contains restrictive covenants covering the Company's financial position and use of the note proceeds as follows:

- Current Ratio of 1.20 to 1.00 measured quarterly: 12/31/17 current ratio was 1.282
- Debt Service Coverage Ratio of 1.20 to 1.00: 12/31/17 coverage ratio was .512 on a consolidated basis. The ratio for GL Suite, Inc. excluding consolidation of Automation Design, LLC is < .767 >.

The loan bears interest at a rate 4.50% per annum.

The following is a summary of the annual principal maturities of all long-term debt:

**Principal amounts due by year:**

2018	\$ 110,387
2019	115,459
2020	120,763
2022	126,311
2023	89,556
Total	<u>\$ 562,476</u>

### NOTE G-DESCRIPTION OF LEASING ARRANGEMENTS

The company signed a lease for new office space on 12/24/13 with an effective date of 04/01/14. The lease terminates on 03/31/19 with the option to renew in good faith. Total rent paid for 2017 was \$182,895, which includes the lease payment and related common area maintenance (CAM) charges.

On 03/31/13, the Company leased space in a co-location vault where various servers and computers are securely stored. The lease terminates 3/31/18. Total lease paid for 2017 was \$32,860.

The following is a schedule of future minimum lease payments required under these leases:

2018	\$	137,451
2019		<u>28,401</u>
	\$	<u>165,852</u>

### NOTE H-CONCENTRATIONS

Accounts receivable potentially subject the Company to concentrations of credit risk. An aggregate of 55% of the Company's outstanding accounts receivable as of 12/31/2017 were due from three customers, as detailed below:

Arizona Board of Technical Registration	\$	139,675
Illinois Department of Public Health		97,271
North Carolina Department of Public Safety		<u>253,578</u>
	\$	<u>490,523</u>

### NOTE I-RETIREMENT PLAN

The Company has a discretionary 401(k) profit-sharing plan covering substantially all of its employees. The Company matches employee's contributions up to 4% of their regular salary. Profit-sharing expense is funded through annual contributions to the plan. As of 12/31/17, the Company has accrued matching contributions for 2017 of \$40,432, all of which will be paid in 2018.

### NOTE J-STOCK OPTION PLAN

The Company has an employee stock option program whereby the options are granted to conform to Internal Revenue Code Section 422, thus allowing them to be treated as "Incentive Stock Options." As of 12/31/17, there were outstanding grants representing the opportunity to acquire 40,000 additional shares. The financial statement impact of these options is immaterial.

## NOTE K-LOANS TO SHAREHOLDERS

During 2015, the Company issued 100,000 shares to Adam Ridlon (Ridlon) in exchange for a Promissory Note the terms are which are as follows. The issue price was \$0.9367/share resulting in an obligation of \$93,670 owed by Ridlon to Company. The outstanding principal balance of the loan and accrued interest thereon shall bear interest at the IRS Imputed interest rate for related party transactions. This resulted in a rate of 2.82% for the current fiscal year. Interest will be computed annually in arrears. Interest accrued through December 31, 2017 related to this note was \$5,661. Ridlon is only required to repay the note with accrued interest if Ridlon sells or otherwise transfers the stock.

During 2016, the Company issued 50,000 shares to Mike Andrae (Andrae) in exchange for a Promissory Note the terms are which are as follows. The issue price was \$1.025/share resulting in an obligation of \$51,250 owed by Andrae to Company. The outstanding principal balance of the loan and accrued interest thereon shall bear interest at the IRS Imputed interest rate for related party transactions. This resulted in a rate of 2.82% for the current fiscal year. Interest will be computed annually in arrears. Interest accrued through December 31, 2017 related to this note was \$1,694. Andrae is only required to repay the note with accrued interest if Andrae sells or otherwise transfers the stock.

## NOTE L-INCOME TAXES

The following information relates to the Company and not Automation Design, LLC(AD). Under the Internal Revenue Code, a limited liability company(LLC) is not generally subject to income taxes. AD is an LLC and as such its items of income and loss are includable in the taxable income of its members.

The Company has a carry-forward of the Credit for Increasing Research Activities from 2011 & 2012. For federal income tax purposes, unused credits may be carried forward for 20 years. The R&D credits carried forward to the tax year 2017 were generated in the following years:

<b>Federal R&amp;D Credit Carryovers</b>	
<i>Year Generated</i>	<i>Carryforward Amount</i>
2011	\$ 12,945
2012	14,127
Carryover to 2017	<u>\$ 27,072</u>

**NOTE L-INCOME TAXES**

For Oregon income tax purposes, unused credits may be carried forward for 5 years. The credits carried forward to the tax year 2016 were generated in the following years:

<b>Oregon R&amp;D Credit Carryovers</b>	
<i>Year Generated</i>	<i>Carryforward Amount</i>
2012	\$ 1,324
Carryover to 2017	<u>\$ 1,324</u>

The provision for taxes on income consists of a non-current deferred tax liability in the amount of \$37,387.

Reductions in projected tax rate and taxable income have resulted in a net tax benefit for the year ending 12/31/17.

The following represents the approximate tax effect of each significant type of temporary difference giving rise to the deferred income tax liability:

**Deferred Tax Liability:**

Property, plant, and equipment	\$ 37,387
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Current year taxable income varies from income before current year tax expense primarily due to the use of an accelerated depreciation method for tax reporting purposes, a 481(a) adjustment to taxable income due to a change in accounting method from modified-cash basis to accrual basis in tax year 2013, and the use of available credits.

**NOTE M-SUBSEQUENT EVENTS**

Management represents that there are no subsequent events through September 7, 2018, the date on which the financial statements were available to be issued.



# CONSOLIDATED FINANCIAL STATEMENTS

For the Year Ended December 31, 2018



**G.L. SUITE, INC. AND  
CONSOLIDATED ENTITY**

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## INDEPENDENT ACCOUNTANT'S REVIEW REPORT

To Management  
G.L. Suite, Inc.  
Bend, Oregon

We have reviewed the accompanying consolidated financial statements of GL Suite, Inc., which comprise the consolidated balance sheet as of December 31, 2018, and the related consolidated statements of income, changes in equity, and cash flows for the year then ended, and the related notes to the consolidated financial statements. A review includes primarily applying analytical procedures to management's financial data and making inquiries of company management. A review is substantially less in scope than an audit, the objective of which is the expression of an opinion regarding the consolidated financial statements as a whole. Accordingly, we do not express such an opinion.

### Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these consolidated financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of the consolidated financial statements that are free from material misstatement whether due to fraud or error.

### Accountant's Responsibility

Our responsibility is to conduct the review engagement in accordance with *Statements on Standards for Accounting and Review Services* promulgated by the Accounting and Review Services Committee of the AICPA. Those standards require us to perform procedures to obtain limited assurance as a basis for reporting whether we are aware of any material modifications that should be made to the consolidated financial statements for them to be in accordance with accounting principles generally accepted in the United States of America. We believe that the results of our procedures provide a reasonable basis for our conclusion.

### Accountant's Conclusion

Based on our review, we are not aware of any material modifications that should be made to the accompanying consolidated financial statements in order for them to be in accordance with accounting principles generally accepted in the United States of America.

  
Chris Mahr, Principal

June 20, 2019



**G.L. SUITE, INC. AND  
CONSOLIDATED ENTITY**

**CONSOLIDATED BALANCE SHEET  
December 31, 2018**

**ASSETS**

**Current Assets:**

Cash and Cash Equivalents	\$	364,133
Accounts Receivable, net allowance for doubtful accounts of \$151,121		919,380
Work in Progress		339,958
Deferred Tax Asset - Current		2,526
Current Install Receivables		36,919
Other Current Assets		24,201
<b>Total Current Assets</b>		<b>1,687,117</b>

Property and Equipment, net of Accumulated Depreciation of \$422,356		159,283
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**Other Assets:**

Noncurrent Install Receivables		22,954
Intangible Assets, net of Accumulated Amortization of \$528,619		108,562
Notes Receivable - Officers		156,625
<b>Total Other Assets</b>		<b>288,141</b>
<b>TOTAL ASSETS</b>	<b>\$</b>	<b>2,134,541</b>

**LIABILITIES AND STOCKHOLDER'S EQUITY**

**Current Liabilities:**

Accounts Payable	\$	32,175
Payroll Liabilities		233,741
Payroll Taxes Payable		10,531
Line of Credit		5,903
Current Portion of Long-Term Debt		115,462
Unearned Income		783,666
<b>Total Current Liabilities</b>		<b>1,181,478</b>

**Long-Term Liabilities:**

Notes Payable (Net of Current Portion)		336,584
Deferred Tax Liability - Noncurrent		30,854
<b>Total Long-Term Liabilities</b>		<b>367,438</b>
<b>Total Liabilities</b>		<b>1,548,916</b>

**Stockholder's Equity:**

Common Stock (No Par Value, 9,000,000 Shares Authorized, 941,500 shares issued and outstanding)		189,984
Paid in Capital		69,714
Retained Earnings		326,151
<b>Total G.L. Suite, Inc. Stockholder's Equity</b>		<b>585,849</b>
Non-controlling interest		(224)
<b>Total Stockholder's Equity</b>		<b>585,625</b>
<b>TOTAL LIABILITIES &amp; EQUITY</b>	<b>\$</b>	<b>2,134,541</b>

See accompanying notes and independent accountants' review report

**G.L. SUITE, INC. AND  
CONSOLIDATED ENTITY**

**CONSOLIDATED INCOME STATEMENT  
For the Year Ended December 31, 2018**

Sales	\$	4,060,349
Cost of Goods Sold		1,492,402
<b>Gross Profit</b>		<b>2,567,947</b>
<b>Other operating expenses</b>		
<b>Administrative Expenses</b>		
Computer	38,518	
Dues & subscriptions	3,736	
Employee benefits	51,744	
Insurance	26,473	
Office, miscellaneous	26,256	
Payroll Taxes	65,412	
Licenses & permits	7,477	
Professional Fees	25,621	
Rent	191,079	
Retirement	46,131	
Salaries	749,778	
Telephone & utilities	59,225	
Training & education	39,821	
Travel & meals	30,587	1,361,858
<b>Sales and Marketing Expenses</b>		
Advertising	21,442	
Sales Salaries	86,272	
Payroll taxes and benefits for sales staff	10,059	
Other marketing expenses	27,300	145,073
<b>Research &amp; development</b>		
Research & development salaries	245,073	
Payroll taxes and benefits for R&D staff	25,841	
Other research & development expenses	6,678	277,592
<b>Amortization &amp; Depreciation Expense</b>		154,184
<b>Total operating expenses</b>		<b>1,938,707</b>
<b>Write off receivables</b>		<b>416,315</b>
<b>Income from Operations</b>		<b>212,925</b>
<b>Other Income (Expense):</b>		
Interest Income		4,460
Miscellaneous Income		2,013
Interest Expense		(24,736)
Current Income Tax Expense		10,931
<b>Total Other Income (Expense)</b>		<b>(7,332)</b>
<b>Net Income (Loss)</b>		<b>205,593</b>
Less income attributable to Non-controlling interest		216,541
<b>Net income (loss) attributable to GL Suite, Inc.</b>	<b>\$</b>	<b>(10,948)</b>

See accompanying notes and independent accountants' review report

**G.L. SUITE, INC. AND  
CONSOLIDATED ENTITY**

**CONSOLIDATED STATEMENT OF CHANGES IN EQUITY  
For the Year Ended December 31, 2018**

	GL Suite, Inc.			Non-controlling	Total
	Common Stock	Paid-in-Capital	Retained Earnings	Interest	
Beginning balance - January 1, 2018	\$192,334	\$69,714	\$337,099	\$176	\$599,323
Net Income (loss)			(10,948)	216,541	205,593
Distributions				(216,941)	(216,941)
Issuance of stock	3,600				3,600
Redemption of stock	(5,950)				(5,950)
Ending balance - December 31, 2018	<u>\$189,984</u>	<u>\$69,714</u>	<u>\$326,151</u>	<u>(\$224)</u>	<u>\$585,625</u>

See accompanying notes and independent accountants' review report

**G.L. SUITE, INC. AND  
CONSOLIDATED ENTITY**

**STATEMENT OF CASH FLOWS  
For the Year Ended December 31, 2018**

<b>Cash flows from Operating Activities:</b>	
Net Income	\$ 205,593
<b>Adjustments to Reconcile Net Income to Net Cash Provided by Operating Activities:</b>	
Depreciation and Amortization	154,184
<b>Decrease (Increase) in Assets:</b>	
Accounts Receivable	(275,995)
Work in Progress	177,508
Other Current Assets	144,816
Deferred Tax Asset	(2,526)
Noncurrent Receivables	109,272
<b>Increase (Decrease) in Liabilities:</b>	
Accounts Payable	1,569
Accrued Payroll	(32,175)
Unearned Income	(155,474)
Deferred Tax Liability	(6,533)
<b>Net Cash Provided (Used) by Operating Activities</b>	<u>320,239</u>
<b>Cash Flows from Financing Activities:</b>	
Payment of Long-Term Debt	(110,431)
Increase in line of credit borrowings	5,903
Distributions to owners	(216,941)
Common Stock Issued / (Redeemed)	(6,700)
<b>Net Cash Provided (Used) by Financing Activities</b>	<u>(328,169)</u>
<b>Net Cash Decrease for Period</b>	(7,930)
<b>Cash and Cash Equivalents, Beginning of Year</b>	<u>372,063</u>
<b>Cash and Cash Equivalents, End of Year</b>	<u><u>\$ 364,133</u></u>
<b>Interest paid during 2018</b>	<u><u>\$ 24,736</u></u>

See accompanying notes and independent accountants' review report

## **NOTE A-SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (SSAP)**

### **Nature of Operations**

The Company designs government regulatory software, tailored to meet the needs of each agency. The software allows the agencies to automate and manage licensing, permitting and registration. The Company also provides ongoing software support services, software hosting, and software training.

### **Use of Estimates**

Management uses estimates and assumptions in preparing financial statements. Those estimates and assumptions affect the reported amounts of assets and liabilities, the disclosure of contingent assets and liabilities, and the reported revenues and expenses. Actual results could differ from these estimates.

### **Basis of Consolidation**

In applying the provisions of Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) 810 Consolidation, formally Interpretation (FIN) 46R Consolidation of Variable Interest Entities, the Company evaluated Automation Design, LLC (AD) and has determined that the entity needs to be consolidated. Therefore, consolidated financial statements include the accounts of the Company and Automation Design, LLC which is a variable interest entity in which the Company is deemed to be the primary beneficiary. All intercompany transactions and balances have been eliminated in the consolidation.

The Company's determination to include AD was based on a review of AD's types of variability and support for consolidation based on variable interests between the Company and AD. The Company considers AD's primary variabilities to be operations risk, activities and contractual arrangements. Specifically, AD has an agreement to receive royalties from the Company as discussed below. All of AD's revenue is received from the Company. Additionally, AD is a guarantor for the Company's line of credit and loan. AD was formed for the benefit of the Company. The majority of the stockholders of the Company own 78% of AD. In determining whether this variable interest should be consolidated, the Company, as provider of the primary revenue source for AD, concluded that they would receive a majority of AD's expected residual returns, absorb a majority of AD's expected losses or both.

Automation Design, LLC (AD) was organized March 16, 2001 to hold the rights to software and related intellectual property for use by governmental licensing agencies. AD has an agreement with the Company which calls for the Company to make royalty payments in exchange for an exclusive license to use and sell AD's software products throughout the world. The terms of the agreement expire on December 31, 2019 and have historically been renewed annually.

Bill Moseley, Eric Staley and Adam Ridlon, who collectively own approximately 85% of the outstanding shares of the Company, own 39%, 39% and 22% of the outstanding ownership units of Automation Design, LLC, respectively.

## **NOTE A-SSAP (Continued)**

AD's primary assets consist of software licenses. Book values of assets and liabilities have been used to consolidate Automation Design, LLC. The carrying amount of the cash and software at December 31, 2018 is \$26. There is no debt as of December 31, 2018. AD files taxes based on a December 31st year-end. Activity has been reported through December 31, 2018 for the consolidation.

The members' equity of Automation Design, LLC is classified as Non-controlling interest in the Consolidated Balance Sheet and the income or loss attributable Automation Design, LLC is classified as Non-controlling Interest Share in the Consolidated Statement of Income and Statement of Changes in equity and is subtracted or added after total consolidated net income has been presented.

### **Cash and Cash Equivalents**

The Company only holds cash in operating checking accounts and money market accounts in FDIC insured banks. From time-to-time, there can be a negative balance shown in the operating account, which is a timing issue due to the lag between the posting of payments and the transfer of funds from the money market account. At times during the year, balances may exceed FDIC insurance limits.

### **Trade Accounts Receivable**

Trade accounts receivable are stated at the amount management expects to collect from outstanding balances. Management evaluates existing outstanding accounts receivable to determine the allowance for uncollectible accounts. The receivables are all from governmental regulatory agencies with contracts requiring payment for the product provided. In 2018, the Company recognized a one-time bad debt largely due to an unresolvable contract dispute with the Arizona Board of Technical Registration. Management does not expect to collect a substantial portion of this receivable and has recorded a corresponding allowance for doubtful accounts. As of 12/31/18, there were four accounts over 90 days in arrears. This accounted for 17% of outstanding accounts receivable. For concentration of credit risk related to the Company's trade receivables, see Note H.

### **Fair Value of Financial Instruments**

The fair value of the Company's financial instruments, which include items such as accounts receivable, loans receivable, accounts payable, and notes payable approximate their carrying amounts at December 31, 2018. NOTE A-SSAP (Continued)

### **Inventory**

The Company carries no inventory of supplies as they are immaterial and are expensed as acquired. The Company does, however, carry a balance in Work-in-Progress (WIP), which represents the direct and allocated indirect expenses relating to specific uncompleted jobs. Such expenses are primarily comprised of allocated labor and related expenses which have not yet been billed to the client. Debit balance client accounts are reported on the Balance Sheet as WIP. Credit balance client accounts are reported on the Balance Sheet as Unearned Income.

## NOTE A-SSAP (Continued)

### Other Assets

In 2013, the Company completed research and development on its new software platform, GLSuite6, and began production. All subsequent production costs were capitalized. The software was completed and placed in service November 1, 2014. Total capitalized software production costs as of 12/31/2018 were \$621,208. Of these, \$608,733 represents the cost of GLSuite6 that was completed on November 1, 2014. Capitalized software costs are amortized over a 60-month period. Amortization costs for the year ended December 31, 2018 on this software were \$121,747.

### Compensated Absences

Effective during fiscal year 2017, the Company changed in policy for accrued leave time. The Company's policy requires all employees to use all accrued leave within 12 months of accrual. No accrued leave is paid on termination. Under this method, accrued leave time is recognized when the time is taken rather than earned. The amount of earned accrued leave at year end has not been determined by management, however, management believes that the unused accrued leave at year end would not be material.

### Revenue Recognition

There are two phases to each contract; Installation and support. After installation is complete, Company enters a period of tech support which is often 60 months or longer.

The Company provides for installations in two models (a) Turnkey and (b) GL Simple. Most installation services sold by Company are turnkey. In a turnkey installation, customers are invoiced as deliverables are accepted by customer. In a GL Simple installation, the Company charges a fixed monthly fee during the entire installation period based on a fixed per licensed user cost which is correlated to expected effort by Company to provide the service. The Company estimates that a GL Simple installation will last seven months, unless otherwise agreed with the client, and fully invoices and recognizes the monthly fees as installation revenue during that period. During the support phase, all invoices are fully recognized as support sales.

Whether for turnkey or GL Simple installations, the Company reports Work-in-Progress inventory (WIP) for time spent on the process. The Company recognizes installation revenue and, expenses WIP when the Company meets a milestone specified in the contract which allows them to invoice.

For support services, the Company invoices at a frequency specified in the contract. Invoices are listed as Unearned Income until the monthly support period transpires, at which point the monthly amount is recognized as revenue.

## **NOTE A-SSAP (Continued)**

### **Company Stock**

In addition to the Company's 9,000,000 shares of authorized common stock, the Company has authorized 1,000,000 shares of preferred stock (no par value) of which none were outstanding as of December 31, 2018. No preemptive rights exist with respect to the shares of stock. Subject to any preferential rights granted to the series of preferred stock, the holders of the common stock are entitled to receive dividends at a rate and time as provided by the Board of Directors. There were no dividends paid or accrued during the year ending December 31, 2018.

### **Advertising**

The Company expenses all advertising costs as incurred. Advertising costs include direct advertising and promotional events. Advertising costs expensed during the year ending December 31, 2018 were \$21,442.

### **Depreciation**

The Company's equipment and leasehold improvements are depreciated using primarily the straight-line method, with a useful life of five to ten years.

### **Presentation of Sales Taxes**

The Company's accounting policy is to exclude the tax collected and remitted to the State from revenues and cost of sales.

### **Income Taxes**

Income taxes consist of taxes currently due plus deferred taxes related primarily to differences between the amount of taxable income and pretax financial income and between tax basis of assets and liabilities and their reported amounts in the financial statements. The deferred tax assets and liabilities represent the future tax return consequences of those differences, which will either be deductible or taxable when the assets or liabilities are recovered or settled. Deferred tax assets and liabilities are reflected at income tax rates applicable to the period in which the deferred tax assets and liabilities are expected to be realized or settled. As changes in tax laws or rates are enacted, deferred tax assets and liabilities are adjusted through the provision for income taxes. See Note L for further discussion of income taxes.



**GL SUITE, INC.**  
**NOTES TO CONSOLIDATED FINANCIAL STATEMENTS**  
**DECEMBER 31, 2018**

**NOTE B-RELATED PARTY TRANSACTIONS**

As discussed in Note A, the Company has a licensing agreement with Automation Design, LLC (AD). Bill Moseley, Eric Staley, and Adam Ridlon, who collectively own approximately 85% of the outstanding shares of the Company, own 39%, 39%, and 22% of the outstanding ownership units of AD, respectively. AD holds the rights to software and related intellectual property for use by governmental licensing agencies. According to the licensing agreement, AD grants the Company “an exclusive license in the Government Field under the License Copyrights and Software to make, have made, use and sell Licensed Products throughout the world, subject to the terms of this agreement”.

The terms of the agreement call for the Company to pay AD \$24,000 plus the greater of (a) 5% of the net sales price of each licensed product sold by the Company, plus 25% of the sublicense income received from the sub-licensee should the Company grant a sublicense to a sub-licensee that is not a related company, or (b) \$80,000. Total amounts paid to AD during 2018 were \$216,791. From time to time, the Company receives payment for maintenance of AD’s core product code. During 2018, the Company did not receive any of these types of payments from AD.

The terms of the agreement will expire on 12/31/2019 and have historically been renewed annually.

**NOTE C-CASH**

All accounts are covered by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000. At December 31, 2018, cash balances exceeded the FDIC coverage limit by \$116,846.

**GL SUITE, INC.**  
**NOTES TO CONSOLIDATED FINANCIAL STATEMENTS**  
**DECEMBER 31, 2018**

**NOTE D-DEPRECIABLE AND AMORTIZABLE ASSETS**

Equipment and Intangibles consist of the following as of 12/31/2018:

**Net Book Value - Tangible Assets**

Computer Hardware	540,428
Office Equipment & Furniture	<u>41,211</u>
	581,639
Accumulated Depreciation	<u>(422,356)</u>
Net Book Value	<u>\$ 159,283</u>

Depreciation expense for the year ended 12/31/2018 was \$29,057.

**Net Book Value - Intangible Assets**

GL6 Software	621,208
Start Up Costs and Other	<u>15,973</u>
	637,181
Accumulated Amortization	<u>(528,619)</u>
Net Book Value	<u>\$ 108,562</u>

Amortization expense for the year ended 12/31/2018 was \$125,127.

**Future Amortization Expense**

2019	104,836
2020	1,509
2021	885
2022	688
2023	<u>644</u>
	<u>\$ 108,562</u>

**GL SUITE, INC.**  
**NOTES TO CONSOLIDATED FINANCIAL STATEMENTS**  
**DECEMBER 31, 2018**

**NOTE E-LINE OF CREDIT**

The Company utilizes a line of credit from Washington Federal Bank (WAFED), which originated September 28, 2015. The maximum available credit facility through this line of credit as of December 31, 2018 is \$800,000. The line is payable at a variable interest rate based upon prime rate plus a margin of 1.000%. The rate for 2018 was 6.5%. The balance owed as of December 31, 2018 was \$5,903. The line is subject to the following covenants.

- Current Ratio of 1.20 to 1.00 measured quarterly: 12/31/18 current ratio was 1.43
- Debt Service Coverage Ratio of 1.20 to 1.00: 12/31/18 coverage ratio was 2.77 on a consolidated basis. The ratio for GL Suite, Inc. excluding consolidation of Automation Design, LLC was 1.22.

The line is guaranteed by Bill Moseley, Eric Staley and Automation Design, LLC.

**NOTE F-LONG-TERM DEBT**

The Company's long-term debt consists of a single loan with WAFED entered into September 28, 2015. The loan is guaranteed by Bill Moseley, Eric Staley and Automation Design, LLC.

The loan was for \$800,000, for a term of seven years maturing on 10/15/2022. The note is secured by the life insurance policies on the lives of and the principal residences of the Company's two largest shareholders, Bill Moseley and Eric Staley. The loan is further secured by the Company's trade accounts receivable, work in progress, install receivables and equipment. The loan contains restrictive covenants covering the Company's financial position as follows:

- Current Ratio of 1.20 to 1.00 measured quarterly: 12/31/18 current ratio was 1.43
- Debt Service Coverage Ratio of 1.20 to 1.00: 12/31/18 coverage ratio was 2.77 on a consolidated basis. The ratio for GL Suite, Inc. excluding consolidation of Automation Design, LLC was 1.22.

The loan bears interest at a rate 4.50% per annum.

The following is a summary of the annual principal maturities of all long-term debt:

**Principal amounts due by year:**

2019	\$	115,462
2020		120,766
2021		126,314
2022		89,504
Total	\$	<u>452,046</u>

## NOTE G-DESCRIPTION OF LEASING ARRANGEMENTS

The company signed a lease for new office space on 12/24/13 with an effective date of 04/01/14. The lease terminates on 03/31/19 with the option to renew in good faith. The Company exercised its option to renew the lease under the provisions set forth in the original lease agreement. Total rent paid for 2018 was \$191,079, which includes the lease payment and related common area maintenance (CAM) charges.

The following is a schedule of future minimum lease payments required under the office space lease.

2019	\$ 107,354
2020	116,834
2021	120,339
2022	123,949
2023	127,668
2024	32,151
	<u>\$ 628,295</u>

On 03/31/13, the Company leased space in a co-location vault where various servers and computers are securely stored. The lease terminated on 3/31/18. Total lease expense paid for 2018 was \$8,314.

## NOTE H-CONCENTRATIONS

Accounts receivable potentially subject the Company to concentrations of credit risk. An aggregate of 64% of the Company's outstanding accounts receivable as of 12/31/2018 were due from three customers, as detailed below:

Arizona Board of Technical Registration	\$ 152,121
Illinois Department of Public Health	77,419
Virginia Department of Behavioral Health	456,093
	<u>\$ 685,633</u>

## NOTE I-RETIREMENT PLAN

The Company has a discretionary 401(k) profit-sharing plan covering substantially all of its employees. The Company matches employee's contributions up to 4% of their regular salary. Profit-sharing expense is funded through annual contributions to the plan. As of 12/31/18, the Company has accrued matching contributions for 2018 of \$4,351, all of which will be paid in 2019.

## NOTE J-STOCK OPTION PLAN

The Company has an employee stock option program whereby the options are granted to conform to Internal Revenue Code Section 422, thus allowing them to be treated as "Incentive Stock Options." As of 12/31/18, there were outstanding grants representing the opportunity to acquire 20,000 additional shares. The financial statement impact of these options is immaterial.

## **NOTE K-LOANS TO SHAREHOLDERS**

During 2015, the Company issued 100,000 shares to Adam Ridlon (Ridlon) in exchange for a Promissory Note. The issue price was \$0.9367/share resulting in an obligation of \$93,670 owed by Ridlon to Company. The loan shall bear interest at the IRS Imputed interest rate for related party transactions. This resulted in a rate of 2.82% for the current fiscal year. Interest will be computed annually in arrears. Interest accrued through December 31, 2018 related to this note was \$8,499. Ridlon is only required to repay the note with accrued interest if Ridlon sells or otherwise transfers the stock.

During 2016, the Company issued 50,000 shares to Mike Andrae (Andrae) in exchange for a Promissory Note. The issue price was \$1.025/share resulting in an obligation of \$51,250 owed by Andrae to Company. The loan shall bear interest at the IRS Imputed interest rate for related party transactions. This resulted in a rate of 2.82% for the current fiscal year. Interest will be computed annually in arrears. Interest accrued through December 31, 2018 related to this note was \$3,207. Andrae is only required to repay the note with accrued interest if Andrae sells or otherwise transfers the stock.

## **NOTE L-INCOME TAXES**

The following information relates to the Company and not Automation Design, LLC(AD). Under the Internal Revenue Code, a limited liability company(LLC) is not generally subject to income taxes. AD is an LLC and as such its items of income and loss are includable in the taxable income of its members

The provision for taxes on income consists of a non-current deferred tax liability in the amount of \$30,854.

The following represents the approximate tax effect of each significant type of temporary difference giving rise to the deferred income tax liability:

### **Deferred Tax Liability:**

Property, plant, and equipment	30,854
--------------------------------	--------

Current year taxable income varies from income before current year tax expense primarily due to the use of an accelerated depreciation method for tax reporting purposes, a 481(a) adjustment to taxable income due to a change in accounting method from modified-cash basis to accrual basis in tax year 2013, and the use of available credits.

## **NOTE M-SUBSEQUENT EVENTS**

Management represents that there are no subsequent events through June 20, 2019 the date on which the financial statements were available to be issued.



**Supporting Document 2 – Form A**

**Form A  
Bidder Point of Contact  
Request for Proposal Number 6249 Z1**

Form A should be completed and submitted with each response to this solicitation. This is intended to provide the State with information on the bidder's name and address, and the specific person(s) who are responsible for preparation of the bidder's response.

Preparation of Response Contact Information	
Bidder Name:	GL Suite, dba for GL Solutions
Bidder Address:	P.O. Box 591, Bend, OR 97709
Contact Person & Title:	Bill Moseley, CEO
E-mail Address:	<a href="mailto:moseley@glsolutions.com">moseley@glsolutions.com</a>
Telephone Number (Office):	541-312-3662
Telephone Number (Cellular):	N/A
Fax Number:	N/A

Each bidder should also designate a specific contact person who will be responsible for responding to the State if any clarifications of the bidder's response should become necessary. This will also be the person who the State contacts to set up a presentation/demonstration, if required.

Communication with the State Contact Information	
Bidder Name:	GL Suite, dba for GL Solutions
Bidder Address:	P.O. Box 591, Bend, OR 97709
Contact Person & Title:	Bill Moseley, CEO
E-mail Address:	<a href="mailto:moseley@glsolutions.com">moseley@glsolutions.com</a>
Telephone Number (Office):	541-312-3662
Telephone Number (Cellular):	N/A
Fax Number:	N/A

**Supporting Document 3 – REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM**

**BIDDER MUST COMPLETE THE FOLLOWING**

**REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM**

By signing this Request for Proposal for Contractual Services form, the bidder guarantees compliance with the procedures stated in this Solicitation, and agrees to the terms and conditions unless otherwise indicated in writing and certifies that bidder maintains a drug free work place.


Per Nebraska’s Transparency in Government Procurement Act, Neb. Rev Stat § 73-603 DAS is required to collect statistical information regarding the number of contracts awarded to Nebraska Contractors. This information is for statistical purposes only and will not be considered for contract award purposes.

\_\_\_\_\_ NEBRASKA CONTRACTOR AFFIDAVIT: Bidder hereby attests that bidder is a Nebraska Contractor. “Nebraska Contractor” shall mean any bidder who has maintained a bona fide place of business and at least one employee within this state for at least the six (6) months immediately preceding the posting date of this Solicitation.

\_\_\_\_\_ I hereby certify that I am a Resident disabled veteran or business located in a designated enterprise zone in accordance with Neb. Rev. Stat. § 73-107 and wish to have preference, if applicable, considered in the award of this contract.

\_\_\_\_\_ I hereby certify that I am a blind person licensed by the Commission for the Blind & Visually Impaired in accordance with Neb. Rev. Stat. §71-8611 and wish to have preference considered in the award of this contract.

**FORM MUST BE SIGNED USING AN INDELIBLE METHOD (NOT ELECTRONICALLY)**

FIRM:	<b>GL Suite, dba for GL Solutions</b>
COMPLETE ADDRESS:	<b>P.O. Box 591, Bend, OR 97709</b>
TELEPHONE NUMBER:	<b>541-312-3662</b>
FAX NUMBER:	<b>N/A</b>
DATE:	<b>6/12/2020</b>
SIGNATURE:	
TYPED NAME & TITLE OF SIGNER:	<b>Bill Moseley, CEO</b>

## Supporting Document 4 – Sample Contract Template

# GL Suite Software Agreement/ Terms of Service

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### This Agreement May Not Apply to You!

Some Licensees have a separate agreement with GL Solutions which covers the use of the software and services. In such cases, the terms of that agreement supersede and replace this Terms of Service. If you have a written software license agreement with GL Solutions, please disregard this notice.

### General Terms

**1. Parties.** Parties to this GL Suite Software Agreement (“Contract”) include GL Suite, Inc., an Oregon corporation (“Company”), and the entity (“Licensee”) meeting one of the following descriptions:

(a) A named entity: \_\_\_\_\_, an (agency of the State of \_\_\_\_\_ OR \_\_\_\_\_, an \_\_\_\_\_ corporation), or

(b) The entity receiving an offer from Company (“Offer”) in response to request for offers (“Procurement”), or

(c) An entity without another written software license agreement with GL Solutions, by using our software and services, you are agreeing to these terms on behalf of your employer. Please read them carefully.

**2. Contract Purpose.** The purpose of this contract is to provide for the installation, hosting and servicing of a business process automation software application known as GL Suite in accordance with the terms of this contract

**3. Contract Incorporation.** This Contract may be executed in any number of counterparts, including this contract, Company’s offer and, optionally, Licensee’s request for offers, each of which shall be deemed to be an original and all of which shall constitute one agreement which is binding upon all the parties hereto, notwithstanding that all parties are not signatories to the same counterpart. If this Contract was submitted with the Company’s offer in response to Licensee’s request for offers, Company intends for the offer to be contingent upon acceptance by Licensee of the terms of this Contract. This Contract and all rights and obligations of the parties hereunder and all rights and obligations of the parties shall be governed by, and construed and interpreted in accordance with, the laws of the State of Oregon applicable to agreements made and to be performed entirely within such State, including all matters of enforcement, validity and performance. This Contract may only be amended in a written agreement executed by authorized representatives of both parties hereto.

**4. Contract Term.** This Contract shall be effective upon execution of this agreement by the parties and receipt of payment for a GL Simple plan by Company. The Contract shall expire concurrently upon the expiration of





all GL Simple plans. GL Simple plans are offered only for the most current and immediately prior version of the Software in effect at the time the GL Simple plan is purchased.

**5. Access.** If the Software is hosted by on Licensee controlled equipment and subject to Licensee's review and approval of access security precautions, Licensee shall establish a secure method by which Company can perform remote administration and updates to the installed Software.

**6. Assignments by Company.** Any and all rights and interests of Company under this Contract may be assigned, either in whole or in part, without notice to Licensee, and Licensee agrees that its rights under this Contract are expressly subject and subordinate to any and all security interests which may now or hereafter be placed by Company or its assigns upon the Software. All references in this subparagraph to assignment shall be deemed also to include any pledge, mortgage, transfer or other disposition. Subject always to the foregoing provisions of this section, this Contract shall inure to the benefit of, and shall be binding upon, the successors and assigns of the parties hereto and, where appropriate, their heirs, legatees and personal representatives. The Company will provide Licensee with no less than a ninety (90) calendar day notice of impending cessation of its business.

## **7. Insurance**

**(a) Workers' Compensation Insurance** - Company shall maintain during the term of this Contract workers' compensation insurance in compliance with applicable State law, which requires subject employers to provide workers' compensation coverage for all their subject workers.

**(b) Professional Liability Insurance** - Company shall maintain during the term of this Contract professional liability insurance with a combined single limit, or the equivalent, of not less than one and one-half (1-1/2) times the total amount payable to Company under this Contract for each claim, incident or occurrence to cover damages caused by error, omission, or negligent acts related to the professional services to be provided under this Contract.

**(c) General Liability Insurance** - Company shall maintain during the term of this Contract general liability insurance with a combined single limit, or the equivalent, of not less than one and one-half (1-1/2) times the total amount payable to Company under this Contract for each occurrence for bodily injury and property damage. It shall include contractual liability coverage for the indemnities provided under this Contract and endorsements for products, completed operations and personal injury. It also shall provide that the Licensee and their agencies, subdivisions, officers, employees and agents are additional insured but only with respect to Company's services to be provided under this Contract.

**(d) Automobile Liability Insurance** - Company shall maintain during the term of this Contract automobile liability insurance with a combined single limit, or the equivalent, of not less than the amount required under law for each accident for bodily injury and property damage, including coverage for owned, hired or non-owned vehicles, as applicable.

**(e) Notice of Cancellation or Change** - Company shall not cancel, cause a material change in, reduce its limits for or omit or intend not to renew the insurance coverage required under this Contract without thirty (30) calendar days' prior written notice from Company or its insurers to Licensee.

**(f) Certificates of Insurance** - The certificates shall specify all of the parties who are additional insured and shall indicate all deductible amounts or retentions for all self-insurance. If requested, complete copies of insurance policies shall be provided to Licensee. Company shall be financially responsible for all pertinent deductibles, self-insured retention, and self-insurance.

**(g) Payments.** Licensee shall make payments to Company in accordance with the Pricing Addendum during the installation.

i. If the Pricing Addendum identifies fixed-priced deliverables, GL Simple Plan fees are due upon Acceptance of the Software deliverables.

ii. If no fixed-priced deliverables are identified, GL Simple-Enterprise Plan fees are due immediately.

iii. Licensee may elect quarterly or annual billing for the GL Simple plan fees. If the Licensee fails to make timely payment for a quarterly invoice, Company shall require annual payment of GL Simple plan fees. Company may prorate GL Simple fees to coincide with the end of a quarter or the Licensee's fiscal year.

iv. Company may increase the cost of any item in the Pricing Addendum by a percentage not to exceed the consumer price index for urban dwellers of the most recent twelve-month period reported by the United States Department of Labor. Company shall notify Licensee not less than three months prior to any price change.

**(h)** Irrespective of any language on or accompanying a payment, Company shall apply all payments received to the oldest invoice due.

**(i)** Payment Obligation Absolute. Licensee's obligations under this Contract, including the obligation to pay license fees unabated, shall continue in full force and effect regardless of any inability of Licensee to use the Software because of war, governmental regulations, or strikes, unless for breach of contract or warranty.

**(j)** Should Licensee fail to pay any amount required hereunder to be paid by Licensee to Company, within thirty (30) days after the due date thereof, Licensee shall pay the Company interest on the unpaid amount of such delinquent payment at the rate of eight percent (8%) per annum from the date such payment was due until it is paid in full, or, in the event such rate exceeds that which is permitted by applicable law, the highest permissible rate.

## **8. Contract Termination**

**(a)** Termination without Cause – Either party may terminate this Contract without cause upon the later of the current GL Simple plan or 90 days prior notice to the other party.

**(b)** Termination for Cause – Following a 30-day written notice to cure, either party may terminate this Contract for a material breach of the Contract terms. A notice to cure must detail each instance of breach, including the facts and provisions of the contract breached, and the remedy sought. The breaching party shall be allowed a good-faith effort to cure. The remedy sought must be reasonably intended to allow the party to fulfill the material provisions of the contract such that the notifying party would waive the breach and the contract may continue if the remedy is provided by breaching party. The notifying party shall act in good faith and take all reasonable steps to allow breaching party to cure any such breach. The parties intend for this notice and right to cure provision to supersede any other provision in conflict within this contract, whether those provisions be contained in a document with precedence or not.

**(c)** Company's Remedies - In the event Company terminates the Contract for breach by Licensee, Company shall have the right to exercise any one or more of the following remedies:

i. To sue for and recover all payments, then due or thereafter accruing hereunder;

- ii. To immediately terminate all performance of GL Simple plan services;
- iii. To bring an action in a court with jurisdiction over Licensee seeking injunctive relief mandating removal and surrender of the Software;
- iv. To terminate the license as to any or all items of the Software; and
- v. To pursue any other remedy available at law or in equity.

The foregoing remedies are cumulative and not exclusive or sequential.

**(d) Licensee’s Remedies** – In no event shall Company’s liability for breach of contract exceed the sum of all funds previously paid to Company during the prior twelve months. This remedy is Licensee’s sole and exclusive remedy for any non-conformities, defects or errors and all performance or non-performance problems related to the Contract including without limitation any breach of warranty by Company. The parties intend for this limitation of liability to supersede any other provision in conflict within this contract, whether those provisions be contained in a document with precedence or not.

**(e) Attorney Fees** – Neither party shall be entitled to costs or expenses in exercising any of its rights or remedies in enforcing any of the terms, conditions or provisions hereof. The parties intend for this attorney fees section to supersede any other provision in conflict within this contract, whether those provisions be contained in a document with precedence or not. In the event this provision is determined not to be enforceable, both parties shall reimburse the other party in proportion of their liability for reasonable costs and expenses, including attorneys’ fees, costs and disbursement incurred by Company in exercising any of its rights or remedies in enforcing any of the terms, conditions or provisions hereof.

**(f) Waiver** - The waiver by either party, or the failure by either party, to claim a breach, or give notice with respect thereto, of any provision of this Contract shall not be, or be held to be, a waiver of any subsequent breach, or as affecting in any way the effectiveness, of such provision.

**(g) Transition Upon Termination** - During any GL Simple Plan and upon an appropriate service request by Licensee, Company shall provide services under a GL Simple plan for an effective and efficient transition of service with minimal disruption to the Licensee including cooperation and assistance to ensure that all Licensee data is securely transferred to Licensee, within thirty (30) calendar days of the request. The services provided shall assist Company’s successor with a successful transition to the new service and/or equipment, with minimal downtime and adverse effect on the Licensee. Licensee Data will be transferred in SQL Server Database Backup format via a SFTP site specified by Licensee or through other media as required by the size of the data. During any GL Simple plan, the Company will provide a written statement or certificate to the Licensee stating that all Licensee data has been transferred or deleted or disposed of as directed by the Licensee.

**9. Notices.** Any and all notices (“Notices”) which either party hereto may desire to give to the other party hereunder shall be deemed to be duly given if and only if mailed by registered or certified mail, postage prepaid, addressed to the other party at its address as set forth below or at such other address as such party may designate to the other party in writing from time to time. Notification by any other means shall be considered a service request and a waiver of any related breach of contract dispute until such time as the party provides notice in accordance with this paragraph.

If to Company: GL Suite, Inc.

PO Box 591



Bend, Oregon 97709

If to Licensee: Mailing address identified by Licensee  
on Licensee's public web site.

## GL Suite Software

**10. Software License.** Company grants to Licensee and Licensee accepts from Company a non-exclusive, non-transferrable, terminal license and right to use GL Suite software for each named individual for whom Licensee purchases a GL Simple support plan. GL Suite is a software application designed to automate business processes in specific industries such as risk management, claim and government regulations (the "Software") on the terms and conditions set forth in this Contract, exclusively for the following purposes defined in this section. The license shall terminate concurrently with any GL Simple plan.

(a) Licensee may use the Software to support customers, licensees, and other third parties for the purpose of providing these persons the ability to make payments, apply, renew licenses, verify requirements, report enforcement actions and related information and documents. Licensee may connect third-party software to the Software through Company provided interfaces to support the use identified in this paragraph.

(b) For the duration of this Contract, Company licenses to Licensee the rights to develop new customized functionality for the exclusive use of Licensee. All such developments by Licensee shall be considered part of the "Software."

(c) Company designed the Software for the purpose of meeting multiple Licensee needs without modification of software code distributed to all Licensees. Company retains the right to determine whether the functionality requirements shall be provided by configuration of the Software or by modifications to the Software distributed to all licensees.

(d) Software includes all new releases and versions, and deliverables provided as a service in a GL Simple plan.

**11. License Limitations.** The Software license granted by this Contract is limited.

(a) Licensee may not use, copy, modify, or transfer the Software, or any copy, in whole or in part, except as expressly provided for in this Contract.

(b) Licensee may copy the Software only for backup purposes, provided that Licensee reproduces all copyright and other proprietary notices that are on the original copy of the Software provided to Licensee.

(c) Company retains all rights, title and interest in and to all software, documentation, derivative works and other intellectual property developed, designed, created or contributed by Company pursuant to this Contract, excluding Licensee's domain name, and excluding the graphics and data supplied by Licensee.

(d) Licensee may transfer the Software and all rights under this Contract to another party together with a copy of this Contract if the other party agrees to accept the terms of this Contract and Licensee receives written



authorization directly from Company prior to any such transfer. If Licensee transfers the Software, Licensee must at the same time either transfer all copies whether in printed or machine-readable form to the same party or destroy any copies not transferred. Any attempt to transfer any of the rights, duties, or obligations hereunder except as expressly provided for in this Contract is void.

(e) Licensee may not rent, lease, loan, resell for profit, distribute, or network the Software except as otherwise provided in this Contract.

(f) Licensee agrees not to disassemble, decompile, translate or convert into human readable form or into another computer language, reconstruct or decrypt, or reverse engineer, all or any part of the Software to develop new software with some or all of the functions of the Software.

(g) In the event Company ceases to exist and fails to assign its rights in the Software to another entity, Licensee shall have the right to make modifications of the Software source code notwithstanding the terms of this section.

(h) Licensee shall not donate, distribute, license, sell or otherwise authorize the use or possession of modifications to any person other than Licensee's employees.

(i) Any software, reports, data structures, and other work product created as a consequence of GL Simple plan service shall become the exclusive property of Company. Company licenses without additional charge Custom Programs to Licensee. License shall include all rights granted under the Software License and the additional rights to decompile and modify the software, reports, data structures, and other work product created as a consequence of software maintenance.

**12. Software Component Licenses.** Software includes the distribution of other licensed software code subject to the limitations noted below:

i. The Alex FTPS Client is distributed under the GNU Library General Public License (LGPL). Therefore, the licensee is entitled to all rights under that license to the Alex FTPS Client software assemblies only.

ii. Json.net Copyright (c) James Newton-King from Newtonsoft is provided under the MIT Free Software license. Therefore, the licensee is entitled to all rights under that license to Newtonsoft assembly only.

iii. The Sphorium Technologies Webdav.Net is distributed under the GNU Library General Public License (LGPL). Therefore, the licensee is entitled to all rights under that license to the Sphorium Technologies Webdav.Net software assemblies only.

iv. Software redistributes Telerik Rad Controls, Telerik. All rights reserved, for Ajax under license with Telerik. Licensee may not develop new software utilizing Telerik's software libraries without first obtaining a Telerik Developer's License. Licensee may configure and utilize Software features without a Telerik Developer's License.

**13. Intellectual Property Protection.** This Contract does not provide Licensee with title to or ownership of the Software, but only a right of limited use. Company shall have sole and exclusive ownership of all right, title and interest in and to the Software, all copies thereof, all derivative works, Program Concepts, and all related works and materials (including ownership of all copyrights, trademarks and other intellectual property rights pertaining thereto), in any media now existing or subsequently developed, whether created by Company or any other party, subject to the rights of Licensee expressly granted herein. Licensee agrees to protect Company's interest in the Software, as follows.

(a) Licensee agrees to allow access or use of the Software only by employees of Licensee or by contractors under a written Contract, which preserves Company's rights to the Software and that prevents contractors from using, redistributing, disclosing or otherwise violating the rights of Company.

(b) Licensee agrees to maintain the confidentiality of the Software including all concepts, documentation, methods, processes and ideas, and the structure, sequence, and organization, designs, data models, tables and set-ups, and interfaces embodied, or expressed therein (the "Program Concepts") and to use same only as expressly authorized in this License. Licensee shall not disclose, provide, or make the Software or Program Concepts available in any form or medium to any person, in whole or in part, except on a confidential basis to such of Licensee's employees and consultants who need to access the Software to enable Licensee to exercise its rights under this License. Licensee shall take reasonable steps to ensure that such employees and consultants will keep the Software and Program Concepts confidential, and Licensee shall be liable for any breach of this Contract by such employees or consultants.

(c) Licensee shall include all proprietary, copyright, trademark, design right and trade secret legends, in the same form and location as the legend appearing on the Software on all authorized backup and archival copies of the Software. Further, Licensee shall not remove any proprietary, copyright, trademark, design right or trade secret legend from the Software.

(d) Licensee shall, at its own expense, keep the Software free and clear of all levies, liens and encumbrances. Licensee shall give Company immediate notice of any attachment or other judicial process affecting the Software.

## Project Management

**14. Management Plan.** Within 30 days following contract execution and annually thereafter, Licensee and Company shall Accept a Management Plan, which describes the project management methodology including scope, schedule, change, risk, deliverable review and communication management activities. The management plan shall become an amendment to this contract.

**15. Company's Duties.** Company shall provide the services identified in the Management Plan and those listed in this section during any installation and for the term of any GL Simple plan.

(a) Conversion – Company will to transfer legacy data from delimited or fixed length ASCII text files or an ODBC compliant data source to the Software. Transfer of data means the manipulation of data from a data source to the table structure utilized by Software. Conversion Services does not include the identification or correction of data-entry or normalization errors present in legacy systems.

(b) Design – Company shall gather business requirements from Licensee and create designs and specifications that describe the Software functionality that accomplishes the business requirements gathered. Software may accomplish the functional outcomes of the Legacy System using alternate controls, steps and procedures, some of which may be faster or slower for users to execute in the Software than in the legacy Software.

(c) Development – Company shall configure and program the Software to operate in accordance to Accepted specifications.

(d) Testing – Company shall perform unit and system tests to ensure the development conforms to the Accepted specifications.

(e) Training – Company shall provide end user training on how to use the software as described in Accepted specifications.

(f) Project Management – Company shall perform project scope, schedule, change, conflict, risk, deliverable review, and communication management activities.

**16. Licensee’s Duties.** Licensee shall provide the services identified in the Management Plan and those listed in this section for the term of any GL Simple plan. Licensee agrees that Company's performance is dependent upon Licensee's timely and effective cooperation with Company. Accordingly, Licensee acknowledges that any delay by Licensee waives any requirement for Company’s timely performance; waives Licensee’s rights to liquidated damages, if any; may cause delay in the first production use of the software and subsequent delivery of a GL Simple plan services. Performance by Licensee of the provisions of this section shall be an essential element of this contract.

(a) Conversion - Licensee shall produce legacy data along with documentation that describes the Legacy Data structure, relationships, fields and tables in detail sufficient to enable Company to convert the data to a format utilized by Software

(b) Subject Matter Expertise - Licensee shall provide all necessary staff required by Company to assist Company with the design. Staff shall possess subject matter expertise on Licensee’s operations and business requirements.

(c) Change Management – Licensee shall provide all executive and management necessary to manage change and redirect or redefine the use of resources, business process, budget allocations, or other modes of operation necessary to ensure an effective and smooth software installation.

(d) Design – Licensee shall allocate necessary staff resources to provide detailed business requirement descriptions, review deliverables, and answer clarifying business requirement questions in accordance with the Management Plan.

(e) Communication Management - An employee of Licensee with direct supervisory authority over Software users shall attend all project management status meetings throughout the project.

(f) Training – Licensee shall require training attendance and participation by Software users. Licensee shall provide one or more employees with responsibility for retraining users and providing personal direction to employees requiring additional assistance.

(g) UAT - Licensee shall conduct UAT testing exclusively by following written process instructions and flow diagrams provided by Company and developed for each business process identified in the Goal and Scope Document. Licensee shall allocate necessary staff resources to complete UAT exit criteria in the UAT Plan including testing all processes during the UAT period.

(h) Licensee shall allocate necessary staff resources including, but not limited to, provide detailed business requirement descriptions, review deliverables, answer clarifying business requirement questions, perform UAT testing, and manage staff and process change within Licensee’s organization.

**17. Project Management Tools.** Company and Licensee agree to use GL Portal, an online, web-based project management system developed by Company to store project deliverables, communicate schedules, provide Acceptance of specifications and other deliverables, answer clarifications, report defects, and provide notifications.

(a) Company will issue Licensee a unique login and access to GL Portal for each person authorized by Licensee.

(b) Licensee will authorize Company to grant GL Portal access only to Licensee agents with authority to act on behalf of Licensee.

(c) Company shall utilize Microsoft Word, Excel, PowerPoint and Visio to develop written project documents.

(d) Company shall provide project management forms for acceptance, deliverable review reporting defects, etc. No other project management software or forms shall be used.

**18. Requirements Refinement.** Software functionality required by this contract shall be clarified through a process of refinement. The refinement begins with the adoption of a Goal and Scope Document which describes the business processes, interfaces, outputs and legacy data sources required prior to production use of the software. Subsequently to the first production use of the system, a Goal and Scope document shall be adopted for each GL Simple Project.

**19. Order of Precedence.** When determining software functionality required by this contract, the following documents shall have precedence in the order listed:

(a) Specifications which includes detailed design documents including Self-Documenting Specifications, Report, Correspondence and Subform Designs, Web Page Specifications, and Security Specifications

(b) Business Process Design or Web Site Design

(c) Goal and Scope Document

(d) Change Requests

(e) Contract, as amended

(f) Company's Offer, as amended, if any

(g) Licensee's RFP, as amended, if any

**20. Specification and Document Deliverable Review.** Company shall create specifications and other documentation, such as project management documents, training, and software documentation, to support the Goal and Scope Document.

(a) Company shall submit specifications and documentation to Licensee for Acceptance using GL Portal. Company shall specify which contract requirements are met by the specification or documentation.

(b) Licensee shall review the specification or documentation to determine whether the document, if developed per the specification, fulfills the contract requirement specified by Company.

(c) Licensee shall respond to Company's request for approval by:

i. Accepting the submitted specification or documentation within seven calendar days,

ii. Rejecting the specification or documentation within seven calendar days, or

iii. Not responding to the Acceptance request within seven calendar days. Not responding to the Acceptance request within seven calendar days constitutes Licensee's Acceptance of the specification or documentation.



(d) If the specification or documentation does not conform to the Contract, Licensee shall notify Company using GL Portal and forms provided by Company specifying the specific contract exceptions which cause the specification or documentation to be unacceptable. All such deficiencies within the specification or documentation must be noted during Licensee’s initial review of the specification or documentation.

(e) Company shall correct the deficiencies and resubmit the specification or documentation within seven calendar days from the receipt of the rejection.

(f) Licensee shall have seven calendar days to re-inspect, test and reevaluate the resubmitted specification or documentation to determine whether deficiencies initially noted are corrected.

(g) Additional cycles may be added until all deficiencies initially noted are corrected.

(h) During any re-inspection by Licensee, the Licensee may not report any new deficiency not reported during the initial rejection of the specification or documentation.

(i) Acceptance of a specification or documentation constitutes Acceptance that Company’s development and implementation of the software according to the specification or documentation satisfies Company’s performance obligations with respect to the corresponding contract requirement identified. Acceptance of a software deliverable constitutes Acceptance that the Software performs as specified.

**21. Delivery.** Delivery of a project artifact, deliverable or software occurs upon any of the earliest of any of the following events:

- (a) Delivery scheduled in a project plan, Goal and Scope Document, Management Plan, UAT Plan;
- (b) Notification of delivery in GL Portal; or,
- (c) Actual notification of delivery by email or phone.

**22. Acceptance.** Any the following conditions constitute acceptance (“Acceptance”) of a project document, specification, software, Software, sub-deliverable or deliverable by Licensee, in the form delivered by Company:

- (a) Written acceptance by Licensee;
- (b) Production use of the Software in a live environment; or

(a) Failure to test, inspect and report specific defects regarding the Software or any contract deliverable within seven calendar days after delivery by Company to Licensee.

**23. UAT Plan.** No later than 30 days prior to the planned commencement of User Acceptance Testing for the initial product usage of the Software, Licensee and Company shall adopt a UAT Plan, which describes the objective, measurable criteria for beginning and successfully exiting UAT. Successful performance of the UAT exit criteria constitutes Licensee’s direction to complete the migration and deliver the Software to the production environment.

## GL Simple

**24. GL Simple Plan.** Company offers licensing, hosting, software, maintenance and warrant services as annual support plans. (“GL Simple”). Licensee’s right to purchase a GL Simple plan from Company expires five years from execution of this Contract, unless otherwise extended by mutual agreement between the parties. GL Simple plans must be purchased for consecutive time periods. Failure by Licensee to purchase a GL Simple plan for any period of time terminates Licensee’s right to purchase a GL Simple plan under this Contract.

(a) The annual cost of a GL Simple plan is based on the tier and number of named Licensee employees or contractors with access to the Software whether or not such usage is concurrent as shown in the Pricing Addendum. Licensee shall purchase the same GL Simple-Tier plan for all named-users.

**(b)** Certain GL Simple services require the use of a Task or Project.

**(1)** Projects – A project includes a request for a GL Simple service with any of the following characteristics: 1) functionality requests that require coordination between Company and a third-party; 2) functionality requests with three or more finite deliverables which must be delivered in a specific sequence to meet the Licensee's business requirements; 3) functionality which may impact other aspects of the configured Software and therefore require a system test of an entire business process; or 4) service or functionality which requires the presence of a Company employee onsite at Licensee's place of business.

**(2)** Tasks – A task is a single request for a GL Simple plan service except requests that are a project.

**(c)** At the Company's sole discretion, Company may establish and modify reasonable policies affecting the definition of GL Simple services, the concurrency of item fulfillment, the definition of projects and tasks, and the request timing required to perform requests within a GL Simple plan.

i. Company may determine that a request is more than one project if the activities are designed to produce more than one specific final output; the activities may start and stop independently of one another; an output is being produced for more than one internal or external customer; or, the process steps substantially vary to produce the specific final output. Company may determine a request for a public web site enhancement is more than one project if the site includes alternate processing steps for ownership or employment changes, address change, names changes, status changes, fees, or license input based on license type or status or other license criteria.

ii. Changing Company or software industry standards may require the use of a project prior to update an existing web site or business process to conform to the new standard.

**(d)** All GL Simple plans shall be purchased for an annual term. Upon the expiration of any annual term, the GL Simple plan tier then in effect for Licensee shall be automatically renewed for an additional annual term, unless Licensee has provided Company 90-day's written notice of non-renewal or request to change GL Simple plan tier prior to the date of current GL Simple plan expiration.

**(e)** GL Simple plan fees are non-refundable. Licensee's obligation to pay GL Simple plan fees for the full duration of the annual plan period shall survive the termination of this Contract.

## **25. GL Simple Plan Tiers.**

**(a)** GL Simple plans are offered in three tiers: Standard, Professional and Enterprise. Prior to the first production use of the Software, Company shall provide an unlimited number of Tasks and Projects in support of Licensee's installation. Following the first production use of the software, Company shall provide "Tasks" and "Projects" specified for the tier in the chart below.

GL Simple Tier	Tasks for Services	Projects for Services
<b>Standard</b>	None included	None included
<b>Professional</b>	2 tasks/user/year or 24 tasks per year, whichever is greater; max 200	One concurrent project, no limit on total
<b>Enterprise</b>	4 tasks/user/year or 48 tasks per year, whichever is greater; max 400	Three concurrent projects, no limit on total

(b) Licensee may select a GL Simple plan tier annually upon expiration of the prior GL Simple plan by notifying Company in writing of the desired tier.

(c) Licensees purchasing the Standard tier must purchase GL Simple for a minimum of 25 named Licensee employees or contractors with access to the Software.

(d) Licensees purchasing the Professional tier must purchase GL Simple for a minimum of 8 named Licensee employees or contractors with access to the Software.

(e) Licensees purchasing the Enterprise tier must purchase GL Simple for a minimum of 3 named Licensee employees or contractors with access to the Software.

(f) Licensee may incrementally increase the number of Tasks or concurrent Projects in a GL Simple tier by paying an “Escalation Fee” in the amount applicable for each task or project pursuant to the Pricing Addendum.

**26. GL Simple Services.**

(a) Company offers GL Simple services as labeled in the first row in the GL Simple Service table below. The columns to the right of the service determine whether the service is offered to the GL Simple plan tier.

- i. Services with a “\$” mark are available to the tier through escalated Tasks and/or Projects only.
- ii. Services with a check mark without the symbol “\$” are provided are provided without limitation.
- iii. Services noted with the symbol “\$” utilize a Task or Project.
- iv. Services without any mark for the tier are not available to that tier.

(b) GL Simple Service Table

GL Simple Service	GL Simple Standard	GL Simple Professional	GL Simple Enterprise
<b>Account Management</b>			
Schedule Management	✓	✓	✓

GL Simple Service	GL Simple Standard	GL Simple Professional	GL Simple Enterprise
Scope Management	✓	✓	✓
Risk Management	✓	✓	✓
Communication Management	✓	✓	✓
Client Engagement	✓	✓	✓
Project Initiation	✓	✓	✓
Change Management	✓	✓	✓
Critical Project Monitoring		✓	✓
Critical Task Prioritization		✓	✓
<b>Technical Support</b>			
Emergency Support (24 X 7 X 365)	✓ 3 hr response	✓ 1 hr response	✓ 15 min response
User Questions	✓	✓	✓
Design Review	✓	✓	✓
Developer Support	\$	✓ ‡	✓ ‡
Hardware, Network and Security Support	\$	✓ ‡	✓ ‡
Architecture and Best Practice Guidance		✓ ‡	✓ ‡
<b>Training and Documentation</b>			
Design Training	✓	✓	✓
User Training	✓	✓	✓
Developer Training	\$	✓ ‡	✓ ‡
Administrator and Configuration Training	\$	✓ ‡	✓ ‡
Administrator and Configuration Documentation	✓	✓	✓
User Conference	✓	✓	✓
<b>Software Patches and Releases for Core Software</b>			
Software Releases	✓	✓	✓
Software Patches	✓	✓	✓

GL Simple Service	GL Simple Standard	GL Simple Professional	GL Simple Enterprise
Software Release Installation	\$	✓ ‡	✓ ‡
Software Patch Installation	✓	✓	✓
<b>Warranty and Enhancements</b>			
Lifetime Defect Correction	✓	✓	✓
Configuration and Customization	\$	✓ ‡	✓ ‡
<b>Data Center and Security</b>			
Compliance Audit (PCI, NIST, HIPAA)	✓	✓	✓
Site Setup	✓	✓	✓
Hosting	✓	✓	✓
Server Move	\$	✓ ‡	✓ ‡
Configuration Management (Tiered Environments: Dev, Sys, UAT and Prod)	✓	✓	✓
Background Checks	\$	✓ ‡	✓ ‡
On-Premise Hosting Option		✓ ‡	✓ ‡
Security Assessment		✓ ‡	✓ ‡
Custom Network Isolation and Management		✓ ‡	✓ ‡
Multi-Factor Authentication			✓
Uptime Guarantee		95%	99.9%
<b>Disaster Recovery</b>			
Data Export Service	\$	✓ ‡	✓ ‡
Site Health Dashboard		✓	✓
Hardware Redundancy		✓	✓
Automated Job and Interface Monitoring/Response			✓
Automated Site Monitoring/Response			✓
Disaster Plan Testing			✓
Backups	7 days	14 days	3 months
Disaster Recovery	within 14 days	within 3 days	within 1 hour

GL Simple Service	GL Simple Standard	GL Simple Professional	GL Simple Enterprise
<b>Mobile Inspections</b>			
Mobile Inspection Service – per device	\$	\$	\$
Mobile Inspection Form Development		✓ ‡	✓ ‡
Mobile Inspection Dispatch Service		✓ ‡	✓ ‡
On-Premise Mobile Dispatch and Synchronization DB		✓ ‡	✓ ‡
<b>Business Intelligence</b>			
Power BI - Visual and interactive reports and dashboards for business analytics	\$	✓ ‡	✓ ‡
<b>Self-Service Administration (by Licensee)</b>			
User Security Administration	✓	✓	✓
Ticket and Project Tracking Portal	✓	✓	✓
Automated Task and Project Promotion Between Environments	✓	✓	✓
Business Rule Configuration	✓	✓	✓
Output Modification	✓	✓	✓
Access your data using alternative tools (e.g. SQL Server Management Studio)			✓
Power BI Professional license for authoring and publishing			✓

**27. Hosting** – GL Simple plans include hosting of Software on servers owned, operated, housed, and maintained by Company and access to the hosted Software by Licensee through the Internet. Company shall acquire any and all license rights necessary and appropriate for Company to provide the Software as obligated by the Contract.

(a) Company shall maintain sufficient hardware capacity to satisfy the technical requirements and the bandwidth and required storage capacity required to meet the Contract.

(b) Company shall be responsible for all telecommunication connections from the server hosting the Software to the Internet.

(c) Company may collect user-specific data only as necessary to provide services authorized under the Contract. No information regarding Licensee or any Software user shall be disclosed, provided, rented or sold to any third party for any reason unless required by law or regulation or by an order of a court of competent jurisdiction. This obligation shall extend beyond the term of the Contract.

(d) The Software will available to Licensee twenty-four (24) hours a day, seven (7) days a week (“Uptime”) less Excusable Downtime for at least the percentage of time indicated for the “Uptime Guarantee” corresponding to Licensee’s GL Simple plan tier in the GL Simple Service Table.

**(e)** For the purposes of this Contract, “Excusable Downtime” is defined as that period of time when the Licensed Services are not available to Licensee due to scheduled network, hardware or service maintenance and/or upgrades. Except in cases of emergency, Licensee shall be provided a two (2) business day advance notification of such maintenance and/or upgrade. In cases of emergency, Company will use its best efforts to notify Licensee of a planned Downtime as soon as practicable. Maintenance or upgrades shall not occur Monday through Friday, between the hours of 6:00 a.m. and 8:00 p.m. Eastern Time. Excusable Downtime shall not include (i) an electronic hardware failure, (ii) a failure in the Software, (iii) an electric utility failure at a Company’s owned or leased facility where the Software is hosted, or (iv) a network failure up to, but not including, the interconnection point of Company’s network to the public switched telephone network.

**(f)** Company shall take reasonable efforts to notify Licensee at least thirty (30) days prior to of any planned change(s) or update(s) to the Software; its functionality; content storage/ backup/disaster recovery, including physical location; security architecture, features or settings; terminations and/or replacement of any Company subcontractor. The planned changes or updates include any change(s) that would potentially impact the secure and efficient use of the Software, as understood and agreed to between Company and Licensee.

**(g)** Company shall provide a secure environment and any hardware and software, including servers, network and data components provided by Company as part of its performance under this Contract. Company shall provide good faith efforts to meet applicable NIST 800-53 and SOC II standards to prevent unauthorized access to and use or modification of, and to protect, the Software and Licensee data. Company agrees that all data entered by Licensee in the Software is intended solely for the business of Licensee and is considered private Licensee data.

**(h)** Company shall implement user identification and access controls designed to limit access to users in accordance with the principles of least privilege.

**(i)** Company shall ensure that all personnel with physical or logical access to the software will receive industry standard annual security awareness training.

**(j)** Company shall ensure that the Software is capable of auditing the following events: Successful and unsuccessful account logon events, account management events, object access, policy change, privilege functions, process tracking, and system events, all administrator activity, authentication checks, authorization checks, data deletions, data access, data changes, and permission changes.

**(k)** Company shall ensure that the Software employs automated mechanisms to centrally review, analyze and correlate audit and log records from multiple components of the Software to support organizational processes for investigation, alerting and response to suspicious activities.

**(l)** Company shall ensure that the Software supports exporting of log files to the Licensee for review and analysis.

**(m)** Company shall provide evidence of a comprehensive continuous monitoring program encompassing all systems with access to Licensee data.

**(n)** Company shall ensure that all changes to proposed Software or Hosting services are authorized according to change management policies.

**(o)** Company shall provide and maintain a backup of Software and Licensee data that can be recovered in an orderly and timely manner within a predefined frequency consistent with recovery time and recovery point objectives, as specified in the GL Simple Service table. Company shall store a backup of Content, at least daily, in an off-site "hardened" facility, located within the continental United States, maintaining the security of the Software and Licensee data.

**(p)** Company shall implement a contingency plan designed to maintain the access to the Software and to prevent the unintended destruction or loss of Content. This plan should provide a predefined frequency, consistent with recovery time and recovery point objectives for disaster recovery and archival purposes of Software at a secure facility located within the continental United States.

(q) Company shall maintain an incident response program that implements incident handling for security incidents that includes preparation, detection and analysis, containment, eradication, and recovery processes. Incident response must have the capability to support automated mechanisms for supporting incident handling processes.

(r) Company shall perform quarterly scans using an Intrusion Detection System (IDS) and Intrusion Prevention System (IPS).

(s) Company shall support physical security measures, including securing Software on a secure server, in locked data cabinets within a secure facility located within the continental United States.

(t) Company shall ensure that access to facilities housing Software are restricted to only allow access to Company's personnel and agents who have a need to know in connection with operation and support of the Software.

(u) Company shall ensure that the Software, operating systems, middleware, applications, and interfaces will be scanned for vulnerabilities every 30 days.

(v) Company shall conduct monthly vulnerability scans against all public-facing interfaces with access to the Software.

(w) Company shall ensure that Software is stored, processed and maintained within the continental United States at all times.

(x) Company shall, at all times, remain compliant with the privacy and security requirements mandated by federal, state and local laws and regulations.

(y) Company shall ensure performance of a security audit at least once annually of the Software.

(z) Company shall ensure that external connections incorporated into the Software have appropriate security controls including industry standard intrusion detection and countermeasures that will detect and terminate any unauthorized activity prior to entering the firewall maintained by Company.

(aa) Company shall ensure that the Software will utilize industry standard firewalls regulating all data entering the internal data network from any external source which will enforce secure connections between internal and external systems and will permit only authorized data to pass through.

(bb) Company shall ensure that the Software will use industry standard encryption techniques to protect Content that is transmitted or stored on behalf of the Licensee.

(cc) Company shall utilize industry standard malware protection, incorporating both signature and non-signature-based detection mechanisms, on all systems with access to Software. Company shall ensure that malware protection will be centrally managed and receive regular automatic updates to malicious code protection mechanisms and data files from the software vendor.

## Warranties

### **28. Software Warranties.**

(a) Company warrants that Company has the full power and authority to grant the rights granted Licensee hereunder with respect to the Software, and neither the license or use by Licensee of the Software, as permitted under this License, will in any way constitute an infringement or other violation of any copyright, patent, trade secret, trademark or any other intellectual property right of any third party.

(b) In the event Software requires updating due to Federal, State statutory or regulatory requirements affecting Licensee, the Company's Software development department shall give its highest priority to the





implementation of such updates, but Company does not warrant that all such updates will be completed, or that any updates will be completed by a certain time.

(c) In the event that the Software is, in the opinion of the Company, likely to or does become the subject of a claim for copyright or other intellectual property rights infringement, Company may, at its option and expense, either (1) procure for Licensee, the right under such third-party rights to use the Software; or (2) replace or modify the Software, or parts thereof, with other suitable and reasonable equivalent technology so that the Software becomes non-infringing; or (3) if it is not commercially reasonable to take actions specified in (1) and (2) immediately preceding, terminate this Contract and refund all license fees to Licensee.

**29. GL Simple Service Warranty.** During any GL Simple plan, Company warrants that the Software configuration will perform in material conformity with Accepted specifications. Company will cure all breaches of the foregoing warranty reported in GL Portal by Licensee during a GL Simple plan.

**30. Hosting Service Warranty.** Licensee assumes total responsibility for Licensee's use and users' use of the Software on any equipment provided by Company, if any, and the Internet. Licensee understands and agrees further that the Internet is accessible by persons who may attempt to breach the security of Company and/or Licensee's networks. Company has no control over and expressly disclaims any liability or responsibility whatsoever for such actions and Licensee and Licensee's end users access the service at Licensee's own risk. Hosting Services provided by Company are provided on an "as is" and "as available" basis without warranties of any kind, either express or implied, including but not limited to warranties of title, merchantability or fitness for a particular purpose. No advice or information given by Company, its affiliates or contractors or their respective employees, create a warranty. Some states do not allow the limitation of implied warranty, and therefore certain provisions may not apply to Licensees located in those states.

**31. Warranty and Remedy Limitations.** EXCEPT AS EXPRESSLY SET FORTH IN THIS CONTRACT, COMPANY MAKES NO OTHER WARRANTIES OF ANY KIND, AND EXPRESSLY DISCLAIMS ANY AND ALL OTHER WARRANTIES, EXPRESS AND IMPLIED, AS TO ANY MATTER WHATSOEVER, INCLUDING, WITHOUT LIMITATION, THE SUITABILITY OR THE CONDITION OF THE SOFTWARE, OR ITS FITNESS OR SAFETY FOR ANY PARTICULAR PURPOSE OR USE, OR AS TO ITS MERCHANTABILITY. COMPANY MAKES NO WARRANTY REGARDING THE USABILITY OR CONVERTIBILITY OF ANY OF LICENSEE'S DATA, THE SUITABILITY OF THE SOFTWARE FOR LICENSEE'S NEEDS, OR ANY PERFORMANCE PROBLEM, CLAIM OF INFRINGEMENT OR OTHER MATTER ATTRIBUTABLE TO ANY USE OR MODIFICATION OF THE SOFTWARE, OR COMBINATION OF THE SOFTWARE WITH ANY OTHER SOFTWARE OR COMPUTER PROGRAM OR COMMUNICATIONS DEVICE, NOT EXPRESSLY AUTHORIZED BY COMPANY IN WRITING. COMPANY SHALL NOT BE LIABLE FOR INDIRECT, SPECIAL, INCIDENTAL OR CONSEQUENTIAL (INCLUDING LIABILITY IN TORT, STRICT OR OTHERWISE) DAMAGES ARISING DIRECTLY OR INDIRECTLY FROM THE SOFTWARE, THE USE, MISUSE, LOSS OF USE OR SALE THEREOF OR THE DELAY OR FAILURE OF DELIVERY OF THE SOFTWARE OR FROM ANY OTHER CAUSE WHATSOEVER EVEN IF IT HAS BEEN ADVISED OF SUCH POSSIBILITY. THE LIMITATIONS, EXCLUSIONS AND DISCLAIMERS IN THIS CONTRACT SHALL APPLY IRRESPECTIVE OF THE NATURE OF THE CAUSE OF ACTION, DEMAND OR ACTION BY LICENSEE, INCLUDING BUT NOT LIMITED TO BREACH OF CONTRACT, NEGLIGENCE, TORT OR ANY OTHER LEGAL THEORY, AND REGARDLESS OF THE SUCCESS OR EFFECT OF OTHER REMEDIES. IN NO EVENT WILL THE AGGREGATE LIABILITY OF COMPANY TO LICENSEE UNDER THIS CONTRACT FOR DAMAGES, COSTS, ATTORNEY'S FEES, EXPENSES OR INDEMNITY EXCEED THE TOTAL FEES PAID BY LICENSEE IN THE LAST TWELVE MONTHS TO COMPANY HEREUNDER. LICENSEE HEREBY WAIVES ANY CLAIM THAT THESE EXCLUSIONS DEPRIVE IT OF AN ADEQUATE REMEDY OR CAUSE THIS CONTRACT TO FAIL OF ITS ESSENTIAL PURPOSE.

**32. Execution.** This contract is executed by any of the following methods:

(a) Acceptance of an offer from Company and incorporation as a counterpart into a contract executed by the parties, or



- (b) Use of the Software without another superseding contract between the parties, or
- (c) The execution of this contract below:

**GL Suite, Inc.**

By \_\_\_\_\_

*Signature, Title*

*Date*

**Licensee**

By \_\_\_\_\_

*Signature, Title*

*Date*

## Pricing Addendum

### Fixed-Priced Deliverables

Deliverable	Acceptance	Amount
n/a		

### GL Simple Plan

**Support Plan ..... Units ..... Cost Per Unit**

GL Simple

Standard .....per user per year .....\$2,157.84  
 Professional .....per user per year .....\$4,180.71  
 Enterprise .....per user per year .....\$7,282.38

### Optional

GL Simple Project Escalation Fee

Standard .....per project .....\$9,703.22  
 Professional .....per project .....\$6,064.23  
 Enterprise .....per project .....\$6,064.23

GL Simple Task Escalation Fee

Standard .....per task .....\$969.88  
 Professional .....per task .....\$969.88  
 Enterprise .....per task .....\$668.67

Mobile Inspection Device Subscription .....per device per year .....\$306.90

Mobile Inspection Dispatch Service .....per year ..... 1 project

On-Premise Mobile Dispatch



and Synchronization DB.....per environment per year ..... 1 project