



Response to
RFP 6249 Z1
Licensure Information System

Attachment 3 -
Technical Requirements
Traceability Matrix
VISUALVAULT
6/15/2020

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ATTACHMENT THREE – REVISION ONE Technical Requirements Traceability Matrix

Request for Proposal Number 6249 Z1

Bidder Name: GRM Information Management Services Inc., VisualVault

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"> 1. Capability does not currently exist in the system but is planned in the near future (within the next few months) 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 3. Capability requires an extensive integration effort of more than 500 hours |
| (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:

[Redacted]

[Redacted]

The only requirement to access use all the functionality of the DHHS LIS will be a web browser, no plug-ins, system extensions, or downloads are required.

VisualVault is designed and developed from the ground up to be a modern SaaS solution.

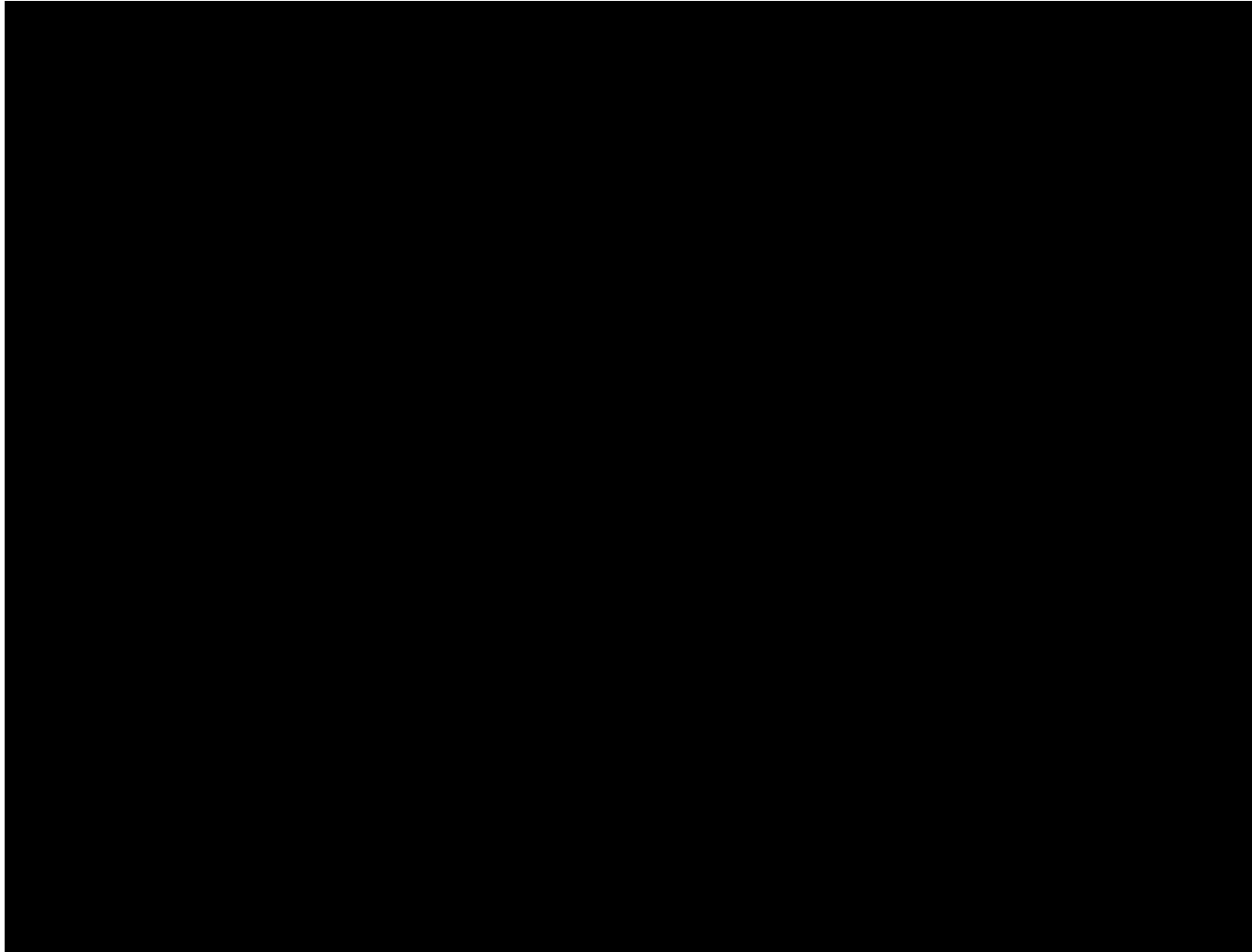
[Redacted]

[Redacted content]

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
|-------|---------------------------------------------------------------------------------------------------------------------------|---------------|-------------|---------------|------------------|
| 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: VisualVault supports devices of all sizes by having responsive web design built into the application. When a screen displays within a web browser on a mobile device, the layout of the screen adjusts to the most usable format for the device. Following is an example of the display being device-dependent.



| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| <p>The VisualVault platform uses Responsive Design as core to our development process to support mobile devices, including iOS, Android, and tablets. The DHHS LIS will be available on mobile devices, leveraging our mobile-ready responsive design. iForms are also accessible on any mobile device. Our accessibility has been a plus for our public sector clients whose field teams and providers rely on our platform to support licensing, inspections, notifications, and other actions. If the mobile device has access to a browser, our system will work, there is no need to download an app or follow additional steps. No extra costs are associated with mobile access.</p> <p>Responsive design enables mobile functionality as long as a major browser is available. VisualVault's iForms are available offline for field personnel. When remote users are accessing the system, a locally saved version with full iForms will allow them to continue working within the system and save their updated information, should they not have access to internet connectivity. Inspections, applications, etc. will move forward even when out of the office.</p> <p>We support modern Web browsers that have support for TLS version 1.2 or higher. - Microsoft IE 11 and higher - Microsoft Edge - Firefox 52 and higher - Google Chrome 40 and higher - Google Chrome for Android 40 and higher - Apple Safari 5 and higher - Apple Safari mobile for IOS 5 and higher.</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 | | |
| <p>Response: No third-party components are being proposed for this project.</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 | | |
| <p>Response: VisualVault uses our iForm technology to build the user interface to capture information. We use the same technology to create and expose lookup tables for maintenance. Authorized administrators can easily navigate to a screen that lists lookup records. Records can be enabled or disabled to allow the item to be visible or used in a list. Queries against the lookup tables control the values displayed in lists within the user interface.</p> <p>When coding is required, it occurs within VisualVault, using JavaScript. All scripts are accessible and stored as part of the solution so that changes can be quickly made by the DHHS team as required. Our core code is protected from configurations built specifically for our clients. Therefore, the business rules and configurations specifically implemented for the DHHS LIS will not impact the program logic.</p> | | | | | |
| TEC-5 | Describe the upgrade and maintenance process for the system. Downtime and impact to the users must be minimized. | X | X | | |
| <p>Response: We are proposing a software-as-a-service (SaaS) platform. The solution is configured on top of VisualVault to support the needs of the DHHS LIS. Before any change to the production environment occurs, DHHS must approve a change request that documents what is being updated with the system. When the platform needs to be updated, the update can be a rolling update with no downtime or occur after hours at a DHHS specified time. When an update needs to occur to the configuration, our staff will make these changes after hours.</p> <p>VisualVault typically provides one major release to the platform annually. We notify clients of upcoming updates to enable clients to determine if they choose to upgrade at the predefined time. If not, we will work with you to schedule the upgrade at your convenience. We typically address bug fixes and minor enhancements quarterly. If there is a security issue, those fixes are released as soon as possible with notification to all clients. We provide a standard Service Level Agreement (SLA) document as part of the contract that outlines support parameters.</p> | | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
|-------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-------------|---------------|------------------|
| | <p>With VisualVault community subscription licenses, your users will always have the latest version of our system. Upgrades are performed in conjunction with your need for proper testing and timing of releases. Since our solution is a SaaS solution, the only license required would be ours. We provide full production, development, and testing environments as part of our offering to ensure that the software is where you need to be before release.</p> <p>Regarding the loading of patches, patch management requirements are documented in Attachment 3- VisualVault Security Plan, Section 4 of the Technical Submission and at the end of this response.</p> <p>We use a centralized update service for server operating systems, database applications, and Web server applications. Network devices (firewalls, load balancers, web application firewalls) have manufacturer-supplied auto-patch download services. Patches are typically released monthly and require seven days advance notice. Patches require seven days advance notice unless deemed an emergency (security) patch minor version. Minor version upgrades are typically released quarterly and require a minimum of two weeks advance notice. Major version upgrades are typically released annually and require minimum one-month advance notice.</p> <p>Upgrades require two weeks advance notice posted to https://status.visualvault.com.</p> <p>Major version upgrades require a one-month advance notice posted to https://status.visualvault.com.</p> | | | | |
| 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: By design, the VisualVault platform protects core code from being impacted by processes designed for specific clients. Therefore, core code remains untouched by configurations/customizations for each client as should be the case for a true multi-tenant SaaS solution; otherwise, upgrades could be a nightmare.</p> <p>It is important to explain that VisualVault provides the DHHS LIS with three environments to accommodate development, testing before graduating any enhancements, upgrades, new versions, configuration changes, or modifications to the actual production environment. We also minimize any downtime and enhance the overall user experience. As the changes move from development towards production, the following processes are recommended and used by our team to ensure a high level of work delivered and minimize the disruption:</p> <p>Development Environment</p> <ul style="list-style-type: none"> • The changes/new components are tested by the developer • The system is tested as an integrated system using a test plan to ensure that all pieces work as identified in the specifications document • Changes are migrated into a Sandbox environment • Bugs are fixed in this environment and retested. Regression testing occurs, then bugs are migrated to the Sandbox-Test environment <p>Sandbox-Test Environment</p> <ul style="list-style-type: none"> • The project team tests the solution for compliance with the specifications document based on a provided test plan. • Bugs are reported. • Bugs are retested once they are updated in this environment. • The customer (end users) approves any changes here before they are migrated to production. | | | | |

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| | <p data-bbox="155 232 447 261">Production Environment</p> <ul data-bbox="205 264 1871 391" style="list-style-type: none"> <li data-bbox="205 264 1289 293">• User Acceptance Testing (UAT) is completed here before officially going into production. <li data-bbox="205 297 1871 358">• After the system is in production, changes go into this environment after the customer accepts a change request, and schedules a time for the change to occur <li data-bbox="205 362 1350 391">• Post-implementation, the project team conducts tests to make sure new changes are working. <div data-bbox="155 402 1881 558" style="background-color: black; width: 100%; height: 96px; margin-top: 10px;"></div> <div data-bbox="533 566 1524 1382" style="background-color: black; width: 472px; height: 502px; margin-top: 10px; margin-left: 180px;"></div> | | | | |

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|-------|----------------------------------------------------------------------|---------------|-------------|---------------|------------------|
| TEC-7 | Describe any redundancy built into the system to limit any downtime. | X | X | | |

Response:



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| 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 | | |
| <p>Response: VisualVault can store any type of electronic file that a person can create and store on their computer systems. We have utilities that can be used to upload electronic documents using automated services. We also have utilities to import CSV data into form records as a batch. Our flexibility enables us to provide a solution that can import and utilize data from many types of solutions.</p> <p>The VisualVault Licensing System provides for secure automated imports and exports of data. The DHHS LIS will easily accommodate the routine extraction of information for purposes such as state and federal reporting. Our Community Licensing model also enables the imports and exports of data to happen within the security and business rules governed by DHHS. This ability to share data with all stakeholders within the security of the system enhances the protections required by DHHS for this new system.</p> <p>VisualVault supports manual imports and exports of data. Using DHHS business rules, it will also be possible to set up the triggers for automated import and export of data. Configuring the automation for exports is standard for all our systems. The method for achieving the data import/export automation is based on our robust ECM suite of services. Our ECM includes a batch data import and export tool to import easily and export data as needed from a variety of file formats, including all Microsoft Office Products as well as PDF, RTF, MHT, HTML, Text, and CSV file formats.</p> | | | | | |
| 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: At the core of the VisualVault Licensing System is a market-leading (according to industry analysts Gartner and Forester) Content Services Suite, which contains a complete document and data management system. The DHHS LIS will have full capabilities to use Nebraska guidelines to set the records retention schedules by document or data type to support required business rules fully.</p> <p>Record retention rules are configured within the document management library for each grouping of electronic documents and data. Customers can select an action when a document reaches the end of its life, including archiving and deleting the documents. All documents are placed into a recycle bin and are not fully deleted until an administrator purges them from the system. Records about licensing can also be purged based on a specific schedule or frequency. Business rules that run regularly will identify records eligible for deletion that has reached the end of their life. DHHS may choose to flag the records for deletion and again have system administrators purge the records from the system after careful consideration. The following screenshot shows how easy it is to set retention schedules by document types.</p> | | | | | |

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| | | | | | |
| TEC-10 | Describe how the system has the ability to provide audit information on all data accessed or changed within the system. | X | X | | |
| <p>Response: Actions and interactions within the system are tracked and recorded as part of the history of the record. When a record is accessed or changed, the information that was updated is recorded to provide full traceability of everything that was changed, who changed it, and when it was changed. The original version of the data and documentation is always available through version control. Changes will be based on user security permissions.</p> | | | | | |

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| | <p>The VisualVault Licensing System can track and report each step that has taken place during the licensing process. Every touch within the platform is audited and recorded. As a task progresses from point to point within the workflow, the system will audit each step and store the progress data. DHHS can use this data to gather important internal metrics as to the performance of the Licensure processes and inspections, measuring the key performance indicators (KPIs) that are critical to report upward as to the number of services and timeframes to execute which are all tracked within the system.</p> | | | | |
| TEC-11 | Describe how the system allows multiple users to use the software applications and database concurrently. | X | X | | |
| | <p>Response: First, we will address the ability scale for thousands of users.</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: The solution provided by VisualVault will be configured to support the State's policies, processes, and statutes as well as to support existing Federal requirements. We know that statutes and policies change over time to reflect the influence of the State and Federal government over the system. To support changes, we configure many of the business rules so they can be updated to reflect the changes. As an example, if the licensing process requires the user to upload five key documents, a templated list is created with assignable tasks for the five key documents. If the system needs to change to add one document, remove an existing key document, and add a required form, DHHS System Administrators can update the checklist to reflect the changes without assistance.

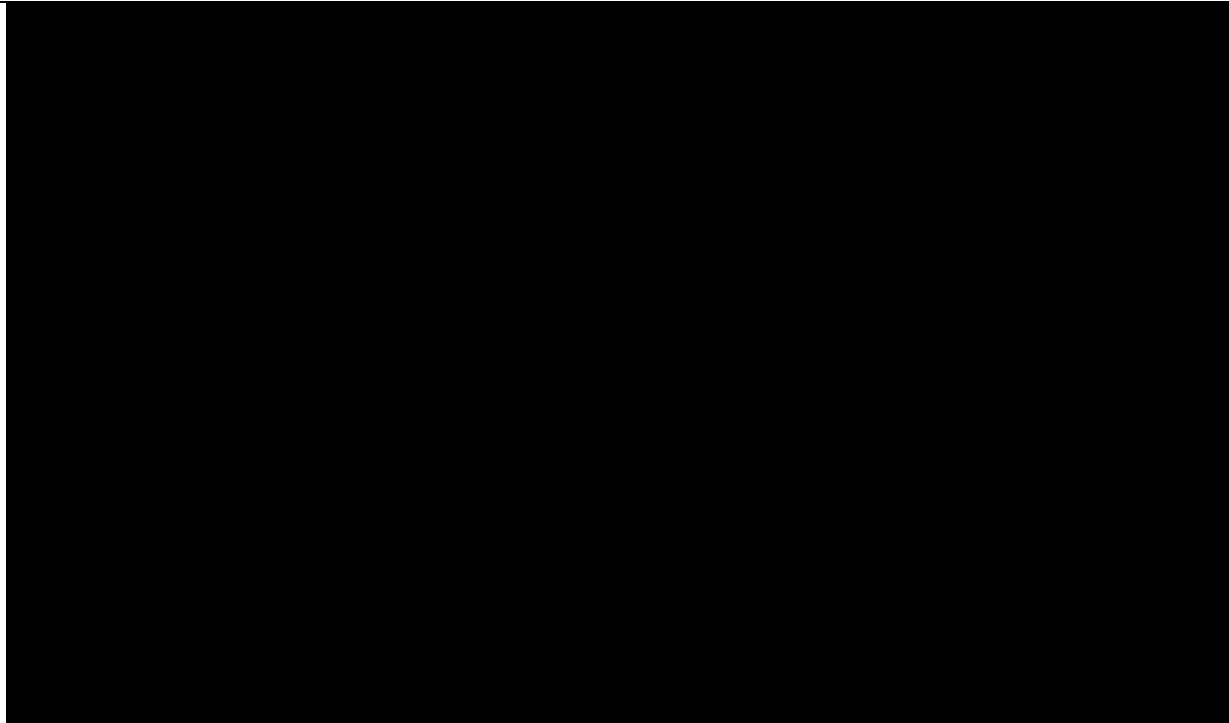
The VisualVault Licensing System was designed for change, and design changes may be accomplished by a DHHS System Administrator (i.e., configuring workflows, iForms, and roles within the system). Typically, and consistently with what we interpret as a goal for the new DHHS LIS, our clients prefer to manage as much of the system as possible without having to acquire assistance from the vendor. This self-reliance is in alignment with our design and approach of a configurable system, which is a key objective of this project.

We will work with your team to provide the training and comfort level for this to happen. Our support is always available to help your System Administrators through any issues they may run into throughout the system used by DHHS. Also, it is important to keep in mind that the training manuals specific to the DHHS LIS are created for each user role, including the System Administrator. Creating workflows begins with a simple process of setting up a workflow template of tasks and steps. As each step is configured, it is easy to add functionality such as notifications, status updates, and escalation reviews (as examples) to enable the workflow to increase its value as it conducts tasks at machine speed while reducing manual work. VisualVault workflow supports the fixed assignment of groups or users to each task.

VisualVault also supports the configuration of business rules to dynamically assign tasks based on information that is present in the business process. Configuring business rules is as simple as selecting the fields and entering the conditions that need to be present for the task to be assigned. Workflows can also be updated by the DHHS licensing System Administrators to ensure the system evolves as requirements change.

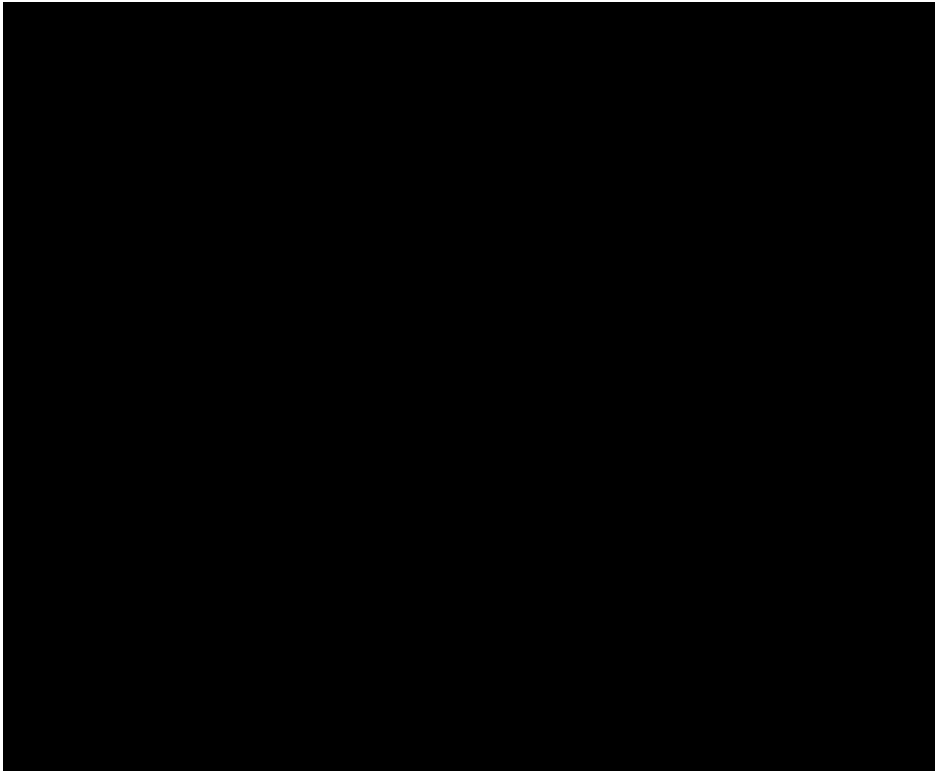
A key to the capturing of data, requests for service, and numerous other communications will be the configuration of forms. In the following diagrams, the VisualVault Team has created an iForm example in our Form Designer. We have highlighted how these forms may easily be re-configured to change the language in a label or add another choice to a drop-down menu item. This next screenshot is an example of easy it can be to change the naming of a label on this sample form. It is as easy as

1. Clicking on the label that you want to change
2. Selecting the edit button and typing in the new label



The following screenshot takes place within the VisualVault Form Builder. Item #1 shows a drop-down menu selected to add a choice. Item #2 shows the command to edit is selected, and item #3 shows how easily you can add, edit, or delete another choice to the drop-down menu by simply typing it in and selecting your action item.


| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| | | | | | |
| 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 | | |
| <p>Response: VisualVault contains a robust Content Services Suite, which is cited by market analysts Gartner (Magic Quadrant) and Forrester (Wave). It includes fully integrated scanning, OCR, intelligent document classification, extensive search, document management, document retention, and other key functionality. Our system offers full support for KOFAX or other twain-compliant scanning software. Many of our clients scan documents as they arrive on multi-function devices scattered throughout their enterprise. We automate the capture of this process by having all scanners send the images to a watched folder, which the DHHS LIS will automatically upload, classify, and store on a scheduled basis, which is completely configurable to meet your requirements.</p> <p style="background-color: black; height: 15px; margin-bottom: 5px;"></p> <p>VisualVault iForms support the intuitive uploading and automatic classification of scanned and other electronic content into the DHHS LIS. Learning the data and documentation requirements during the Discovery process is crucial, and we have successfully implemented several ways for our clients, from uploads, drag-and-drop, and mobile capture that help automate and improve operations.</p> | | | | | |

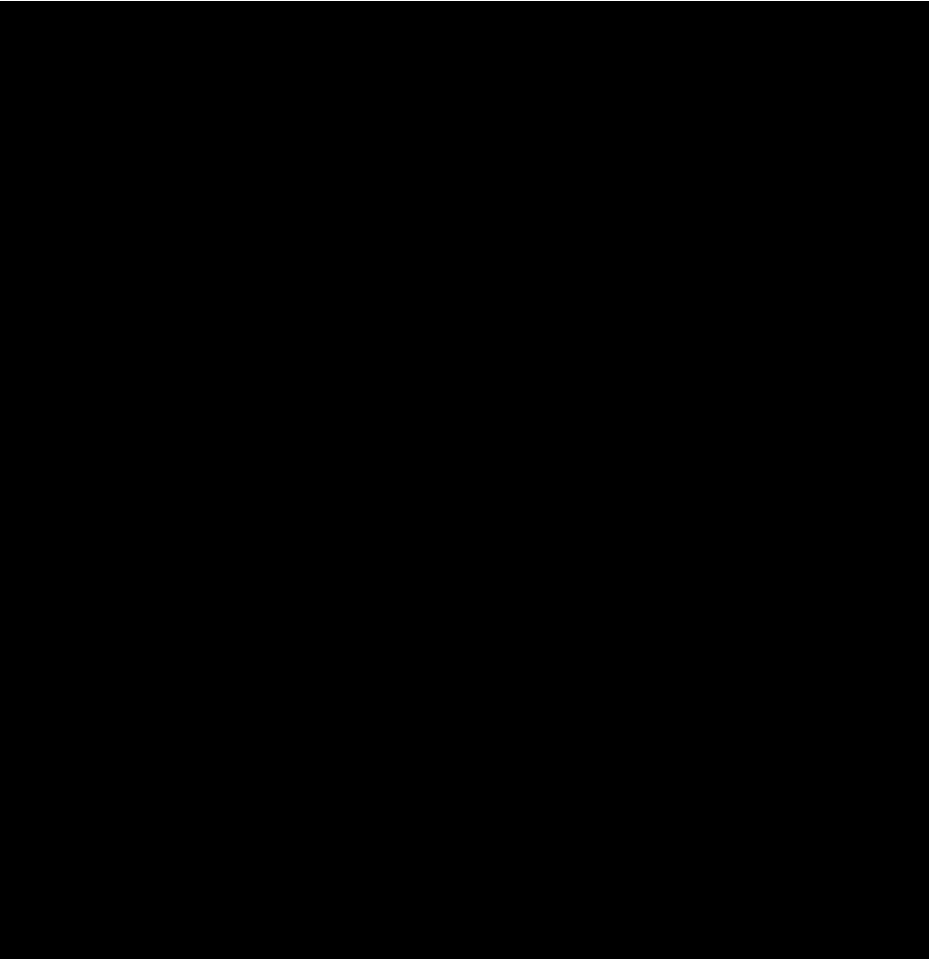
| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| | <p>The City of Lincoln is an excellent example of how Construction Trade Professionals may capture digital content and upload it to complete their License process. The following screenshot is a sample of the easy to use interface for licensees to upload content, which is automatically associated with the Licensee and stored in the system.</p>  <p>The goal for all of our clients is to reduce the manual effort to acquire data and documentation and improve the quality and completeness of all data and content required to ensure the licensing process meets its goal of improving the safety and wellbeing of citizens. VisualVault understands this is the mission of DHHS, and we are fully committed to enabling your team through automating this program in such a way that it makes sense for the Licensees, the DHHS team, and ultimately, the citizens of Nebraska.</p> <p>Our platform contains an entire toolset and an experienced team to work with DHHS SMEs to understand best where, when, and how we should apply these tools to automate the capture and classification of all data and content required without human intervention. The program will provide visibility to the entire community of users as to what is submitted, what needs additional information, what has missing information, and what requires updated information through intuitive user dashboards, screens, and alerts - all automated. Licensees can take a picture on their phone, scan a document on their home or office scanner, or upload an electronic document they received from another source. State users can also scan and upload documents using similar mechanisms. Additionally, utilities can be configured so that State staff can use copiers in the office to upload documents to VisualVault.</p> | | | | |

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| 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 | | |
| <p>Response: VisualVault hosted sites are managed across server farms that span multiple hot data centers. Reports and ad-hoc queries are completed in real-time against existing data in a database that is designed to defray the impact of these more intense processes by design. We leverage database technology such as indexes and query performance features to maintain a high level of performance for data sets that have millions of records. Options are available to support a data warehouse to ensure the highest level of performance.</p> | | | | | |
| TEC-15 | Describe the help desk operations and support that will be provided with the system. | X | X | | |
| <p>Response: The VisualVault Support Team takes a great deal of pride and satisfaction in our long-term relationships with our clients. Our superior client relationship was also highlighted in Gartner’s 2018 Magic Quadrant for Enterprise Content Management, when they stated, “<i>Reference customers for GRM thought VisualVault to be a good value for money and gave high scores for its technical support.</i>”</p> <p>VisualVault experts provide full support and maintenance to all solutions. Our flexibility allows for fast turnaround on maintenance and support tickets, and trained experts deliver the best service to keep our platform running at the highest levels around the clock – ensuring the highest levels of uptime possible for our customers.</p> <p>Ongoing support will begin with a transition plan from the Implementation Team to our Support Team. VisualVault’s Support Team includes a help desk. Help Desk staff are available via a phone call or an email to answer questions regarding creating, generating, and scheduling reports. Traditional support hours are from 8:00 am to 5:00 pm Eastern time, Monday through Friday. It is understood that DHHS requests a 24/7/365 support plan, which is factored into this response.</p> <p>We provide a Quick Reference Guide and System Reference and User guides, along with the training materials. These are available in an electronic format that can be accessed from the VisualVault system 24/7 for your team’s convenience. A FAQ may be posted for self-service issues. The reason we always suggest our clients take the first call is that the majority of questions are about the licensure programs themselves, not the system. Our team has also found that 30-60 second “How-To” videos are helpful for licensees that prefer audio/visual assistance instead of written documentation.</p> <p>Once the Burn-In date has been reached, for the next 30 days, our implementation leaders and support teams work jointly to address training and functional issues as they arise. After these 30 days, our Implementation Team phases out of the project, and our Support Team takes over. The Nebraska DHHS Support Team would resolve the issues that they can resolve. Common issues such as username and password are resolved through automation in the DHHS LIS.</p> <p>The following is our standard service level agreement (SLA) for support.</p> | | | | | |

“Reference customers for GRM thought VisualVault to be a good value for money and gave high scores for its technical support.”



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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 |
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| 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: VisualVault is a pure SaaS solution and does not have any customer-side requirements other than internet connectivity and access to an internet browser. No plugins or additional components are necessary.</p> <p>The VisualVault Licensing System supports modern Web browsers that have support for TLS version 1.2 or higher. - Microsoft IE 11 and higher - Microsoft Edge Firefox 52 and higher - Google Chrome 40 and higher - Google Chrome for Android 40 and higher - Apple Safari 5 and higher - Apple Safari mobile for IOS 5 and higher.</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: VisualVault utilizes Amazon East/West, which is FedRAMP Moderate authorized and fully hosted within the continental United States.</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: VisualVault is in complete agreement.</p> | | | | | |
| STN-4 | The system must comply with accessibility requirements described in 45 CFR 85 and with State of Nebraska accessibility requirements located at https://nitc.nebraska.gov/standards/2-101.pdf . | X | X | | |
| <p>Response: VisualVault complies with the standards as described in 45 CFR 85, which include Section 508 of the Americans with Disabilities Act (ACA) and the WCAG accessibility requirements. Please see Attachment 4 - VisualVault Accessibility Conformance Report in our Technical Submission and at the end of this document.</p> | | | | | |
| STN-5 | 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 http://www.ada.gov/508/ . | X | X | | |
| <p>Response: VisualVault complies with the WCAG 2.1 accessibility requirements as well as the requirements Section 508 of the Americans with Disabilities Act.</p> | | | | | |
| STN-6 | 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 http://www.sos.ne.gov/rules-and-regs/regsearch/Rules/Secretary_of_State/Title-437.pdf for definition and standards in Nebraska. | X | X | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| <p>Response: VisualVault has both electronic (eSignature) and digital signature capabilities. Electronic signatures are provided within iForms as native functionality and provide secure electronic signature functionality.</p> <p>Digital signatures require a Public Key Infrastructure (PKI) where each digital signature transaction includes a pair of keys: a private key and a public key. The private key, as the name implies, is not shared and is used only by the signer to sign documents electronically. The public key is openly available and used by those who need to validate the signer's electronic signature. VisualVault can provide PKI-based digital signature capability per state and federal legal requirements.</p> | | | | | |
| STN-7 | The system must comply with all HIPAA and other statutory, regulatory, and policy requirements for protected health information. Refer to http://dhhs.ne.gov/ITSecurity . | X | X | | |
| <p>Response: VisualVault maintains an annual HIPAA attestation from a third-party organization as proof of HIPAA compliance. Additionally, VisualVault maintains a continuous compliance program to ensure that the required controls are met constantly. A copy of the HIPAA attestations is included in the Attachment section of our Technical Submission and at the end of this document.</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: No client software is required to be installed.</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: VisualVault is a hosted solution and does not require any interaction with local systems.</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 | | |
| <p>Response: VisualVault is a hosted solution and does not require any interaction with local systems, which means no local storage of data or documentation.</p> | | | | | |
| STN-11 | Describe the report design tools and output formats. | X | X | | |
| <p>Response: Perhaps one of the most critical benefits of the VisualVault Licensing System is the level of insight and transparency the entire DHHS team gains. Management will have their dashboards configured to show a 360-degree view of all key performance metrics on one screen with live graphics that, when selected, instantly drill down to the details of each performance metric. Since our platform records every touch to the system and records the data, the improvement in reporting aligns with the key requirements for this project.</p> <p>The VisualVault Implementation Team will train the DHHS team to create customized reports. The reports vary from simplistic line data to more complex presentation-quality reporting, ad-hoc reporting, and the creation of dynamic dashboards. Our platform enables DHHS to have access to all data, based on security rights, within the repository and integrated third-party applications to create as many reports as wanted. There is no limitation to the number of reports or dashboards DHHS may create. Our flexible data model means that fields may be added to the system as reporting requirements evolve, without additional programming. Reports may be modified to include new or changed fields as often as required.</p> | | | | | |

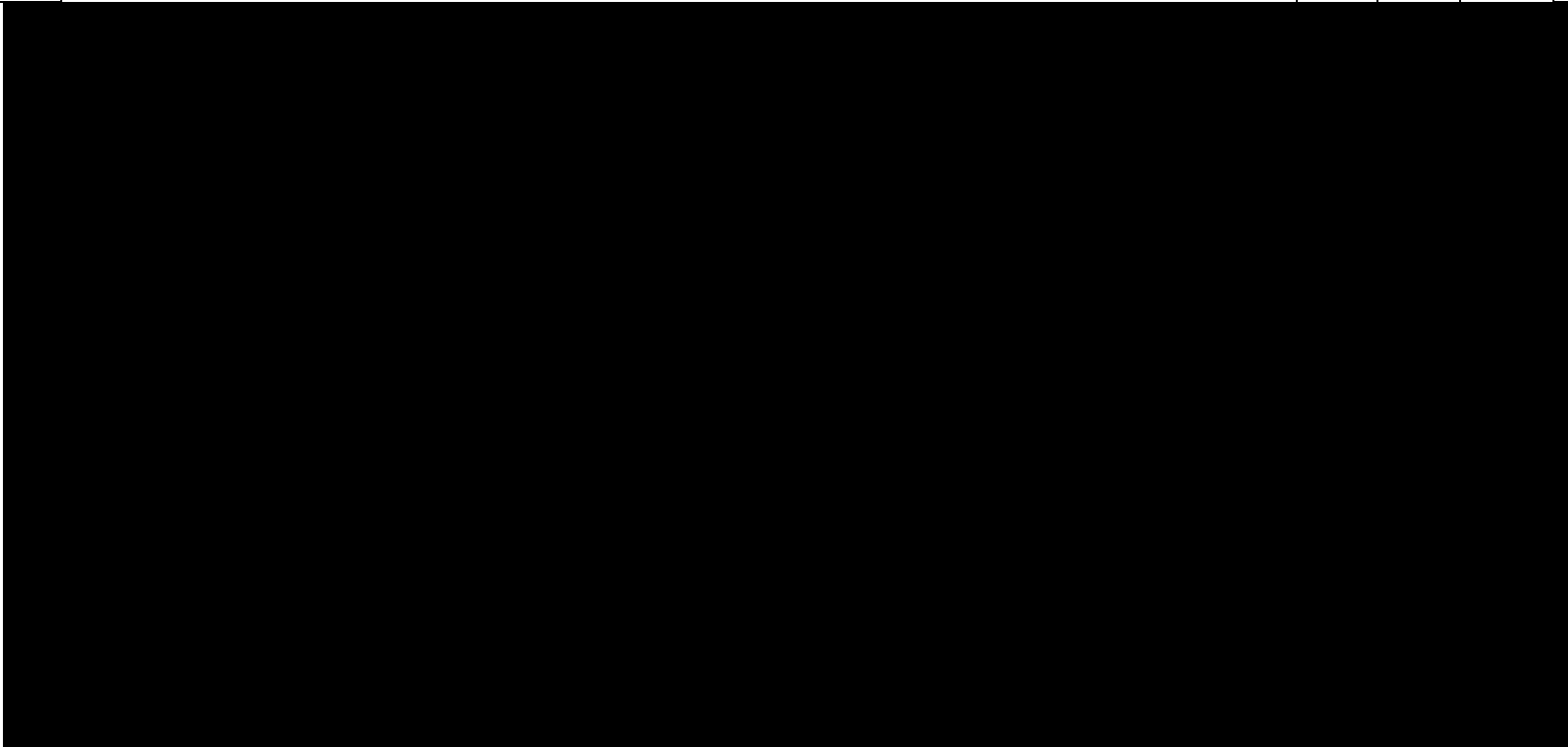
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| | <p>Mechanisms are in place to analyze and extract information stored within iForms or document metadata within VisualVault. These tools allow for static reports, reports that can be adjusted based on filters or analytics dashboards where users can interact with charts or data to analyze subsections of data. Data can be displayed as detailed lists, summary reports, or graphical reports to output and analyze information relating to business processes.</p> <p>A single report can be displayed to different users. User contextual parameters passed into the reporting tool can control what data is presented to different users. VisualVault has several means of dashboards, reports, and analytics. DHHS will have access to all of them as they are included, and there are no limitations to the number of reports or dashboards you may create and use. During the discovery process, an initial set of reports will be identified and as part of the implementation.</p> <p>Since all users will have role-based licenses to work within the system, dashboards representing daily work activity with dynamic drill-down capability and contextual presentation of detail are common on user interfaces, providing team members a user-friendly experience and a glance at important metrics as determined by their role. We will configure the DHHS LIS to align with the requirements of DHHS and the specific license types to improve efficiency and visibility into all processes.</p> <p>The following shows the key reporting tools that are included in the VisualVault Licensing System. We may also export data to a report creation tool of DHHS' preference as required.</p> <ul style="list-style-type: none"> 1- Report Writer (line data reports and presentation quality) 2- Ad-hoc report writer 3- Dashboard Builder | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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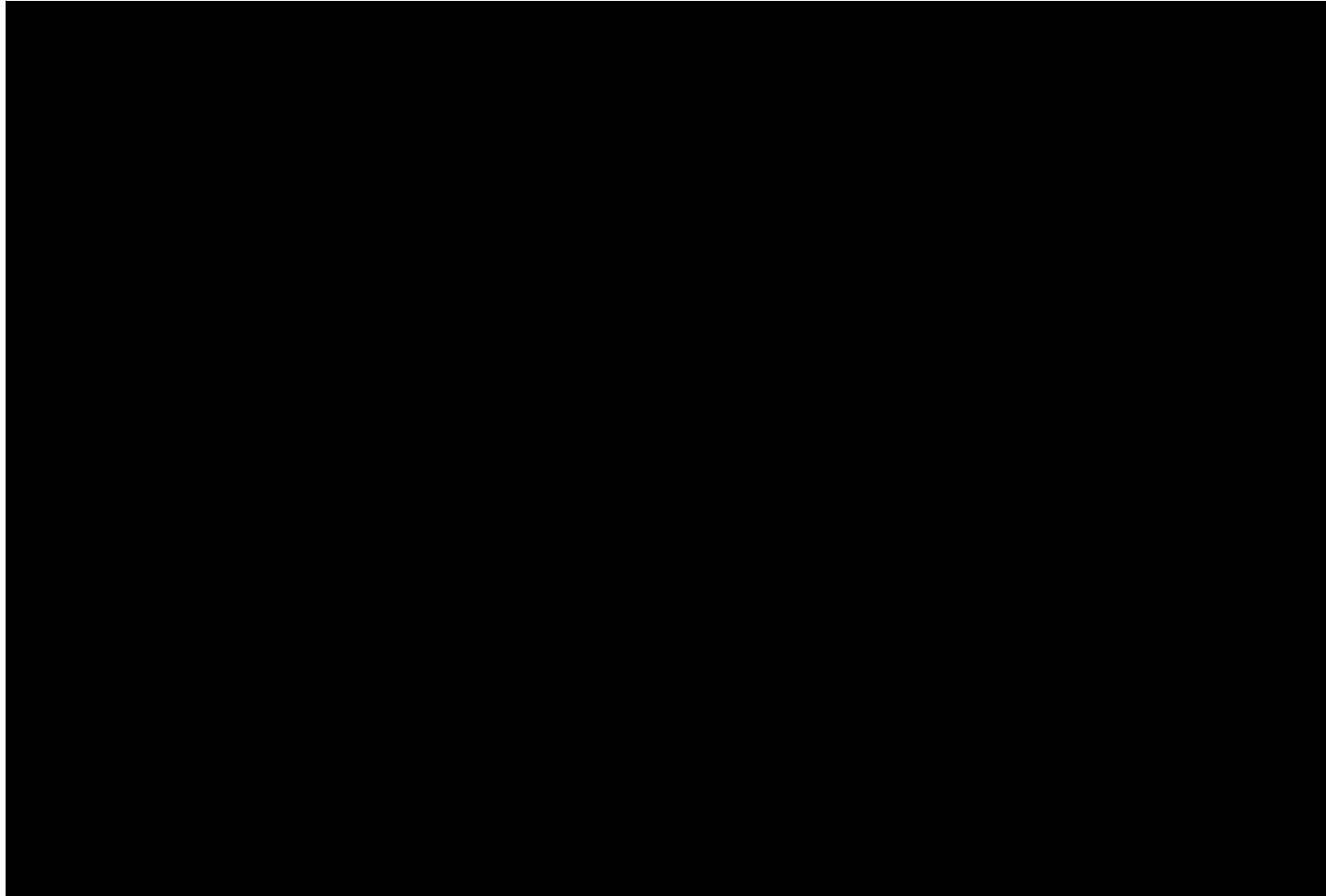
| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| |  <p>Output formats include Excel, Word, Rich Text Format, PDF, CSV, HTML</p> | | | | |
| STN-12 | Describe how the system maintains licensed software, including all third-party software, no more than two supported versions behind the latest release and updated with latest security patches. | X | X | | |
| <p>Response: VisualVault maintains a NIST 800-53 moderate compliant maintenance program that continuously monitors all licensed software within the environment to ensure that we meet our goal of remediating any known software flaws or vulnerabilities on the following schedules:</p> <p>Critical: 14 days <i>(CVSS Impact Score of 9.0 to 10.0)</i> High: 30 days <i>(CVSS Impact Score of 7.0 to 8.9)</i> Moderate: 90 days <i>(CVSS Impact Score of 4.0 to 6.9)</i> Low: 180 days <i>(CVSS Impact Score of 0 to 3.9)</i></p> <p>Software updates are monitored through the use of systems management software, vulnerability scanning, and manual tracking.</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 |
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| ERR-1 | Describe the error handling functionality. | X | X | | |
| <p>Response: All errors and exceptions that occur from the VisualVault core platform are logged into a central administrative log. This log is accessible by authorized users. Errors that occur as part of the business rules are also maintained in a central log. Administrators of the system can change errors included in business rules to be more meaningful for those receiving the message. Errors that stop the ability to complete an action in the solution effectively display to the user as a message in the user interface. Other errors may be logged if they are soft errors or subtle events that need to be tracked. When an automated maintenance process occurs in the system and encounters an error message, administrators are notified via email of the error.</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 | | |
| <p>Response: There are several processes and means to minimize errors in data and more critical catch it before submission into the DHHS LIS. It is important to introduce the flexibility and intelligence inherent within VisualVault's iForms, which will be used in the DHHS LIS to capture data and documentation for each license type. iForms are the primary tool we use to place structure around data elements needing to be collected. iForms data fields will include your business rules to ensure every data element is captured and validated for accuracy as well as completeness, including determining characteristics such as alpha, numeric, alphanumeric, text boxes, length of the field, security levels for each field, and more. We will work with your SMEs during discovery to ensure the iForm contains all the required categories for proper reporting.</p> <p>iForms are configured (using the drag-and-drop Template Builder) to capture all required data, ensuring the front end of the reporting process is completed with speed and accuracy. Business rules provide field-level intelligence as well as data validation and verification to eliminate data duplication. iForm fields can be automatically populated with data from any integrated application.</p> | | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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Inside the iForm Builder, some fields support standardization of data entry into masked fields such as social security numbers, Federal identification numbers for businesses, and telephone numbers. These fields may be secured to enforce privacy based on security requirements and displayed to users of the system with properly assigned permissions (NE DHHS and Federal compliance).

For many of our public sector clients, the best means to support accuracy is the use of previously validated data within the LIS or another system that is connected to the LIS. Several of our clients use the USPS address database to validate street addresses and confirm zip+4 codes. Once the user types in an address, or partial address, the complete street address, city, and zip code options are presented for them to select. Pre-population of iForms is applicable for a wide variety of actions such as renewals, re-inspections, and many more time-consuming data entry processes that are now limited to updating new fields, adding comments, or adding documentation.

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| <p>iForms have a built-in spell checker and support the use of tools, if desired, like Grammarly for further edit checks for the user.</p> <p>Key Point - [REDACTED]</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 | | |
| <p>Response: As part of our client service standards, the VisualVault Implementation Team before Go Live and the Support Team Post-Go-Live will check for successful and negative outcomes after creating, updating, or deleting data when building business rules. It is expected that errors or negative outcomes are captured. When an error indicates the business rule should not proceed or when unhandled errors are encountered, business rule standards force the log of these errors. Soft errors that should not stop the process are captured and communicated to the end-user. We work with each client individually and will determine along with the DHHS team to identify how verbose/frequent errors are logged and under what conditions to ensure the solution is responsive to the end-user.</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 | | |
| <p>Response: Alerts can be provided to end-users through one of the multiple channels that makes the most sense for the solution and audience. Most errors are communicated to users through dialog boxes in the user interface, which is immediate feedback and typically the most effective communication. [REDACTED]</p> <p>These methods of communication occur when an action is successful or unsuccessful. Users may also receive notifications from the system via email or text messages. The channel that is used will depend on whether an email or mobile number is available for communication and the preferred communication method. The channel used will also depend on identifying the most reliable mechanism to acquire the attention of the end-user. Both email and text messaging can be used at the same time.</p> | | | | | |
| ERR-5 | Describe how the system provides for the generation of standard and customizable error reports. | X | X | | |
| <p>Response: A standard report is made available for authorized users to search through and find specific errors within the log. VisualVault's reporting tools can also be connected to the error log data source. This connection will enable the generation of customizable reports against logged data.</p> | | | | | |
| ERR-6 | Describe how the system includes a comprehensive list of error messages with unique message identifiers. | X | X | | |
| <p>Response: There are a couple of different approaches to this answer. The first one is our approach is to identify errors in the context of the business rule, where the error occurs. VisualVault maintains a central lookup list of important error messages, which will be usable for errors that are trapped and handled. We find that there are some circumstances where potentially unhandled error messages occur. These messages will be trapped, but due to the nature of the error, the business rule cannot stop and look up a structured error. As a result, these types of errors will report the unhandled error and provide messages and status codes to help administrators and our support team diagnose and troubleshoot issues.</p> | | | | | |
| ERR-7 | Describe how the system displays errors to the user/operator in real-time whenever an error is encountered. | X | X | | |

Response:

Working within the security and intelligence of the DHHS LIS using VisualVault means that the system will provide error messaging as they occur when applicable.

The error messaging is completely configurable by the DHHS LIS System Administrator for each license type. The real-time feedback and detailed, configurable error messaging provide a high level of visibility to the licensee and reduces calls and erroneous submissions to the DHHS team. This real-time intelligent error detection supporting specific DHHS business rules prevents the historical errors in customer data, which consume a significant amount of agency time and energy as erroneous data flows through a licensing process. These errors then trigger a sub-process of notifying the applicant, receiving corrected documents, marrying these up with the original submission.

VisualVault, on the other hand, moves error correction upstream to the customer level using our proprietary iForms. iForms have intelligent data fields that can trigger and display additional necessary forms, and check for logical consistency. For example, if you require a physical address for a provider to be within Nebraska, the system check for a match. Our system will not allow submission of an application that is erroneous, incomplete, or which violates your business rules. It will inform the customer of necessary action before the application is submitted to your agency processors.

A process example of real-time error messaging is an application for a license. An applicant will register and identify the type of licenses they are seeking. Once registered, the DHHS LIS will query them as to the type of license or licenses they seek, and the applicable iForms will appear in their work queue. An alert will be sent to their email to login. VisualVault's iForms contain data validation business rules down to the cell level as well as business rules that ensure the application is completed in full before the applicant being able to submit into the system successfully. If a data field is not validated or the data is not completed, or documentation is not attached, they will not be able to submit. An error message will immediately appear, letting them know specific deficiencies that need to be corrected.

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| | | | | | |
| ERR-8 | Describe how the system has the ability to suppress error messages based upon user-defined criteria. | X | X | | |
| <p>Response: Based on the Discovery sessions with the DHHS SMEs, this capability would be configured into the business rules. Users would mark in their user profile what they don't want to see. Then based on their profile, the business rules can suppress displaying messages of certain types. As an example, maybe users don't want to see every Save confirmation. The user could update their profile to exclude this type of message in the solution. When a save action is successful, they will not see an OK dialog box.</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 |
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| DBM-1 | Describe the database architecture, including the database software that is supported by the system. | X | X | | |
| <p>Response: [Redacted]</p> | | | | | |
| DBM-2 | Describe how the system allows changes to be made available immediately on-line. | X | X | | |
| <p>Response: When a change is made to any metadata within the system. That information becomes immediately available for reporting and to use with business rules. Administrators may stage update to a user interface within the system while the change is finalized. As soon as the change is ready, it is released. Upon release, the change is immediately available for use in new and existing records.</p> | | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| DBM-3 | Describe how the system facilitates data structure changes to accommodate expanding scope, new services, changing requirements, and legislative mandates. | X | X | | |

Response:

[Redacted]

[Redacted]

[Redacted]

[Redacted]

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| 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 | | |

Response:

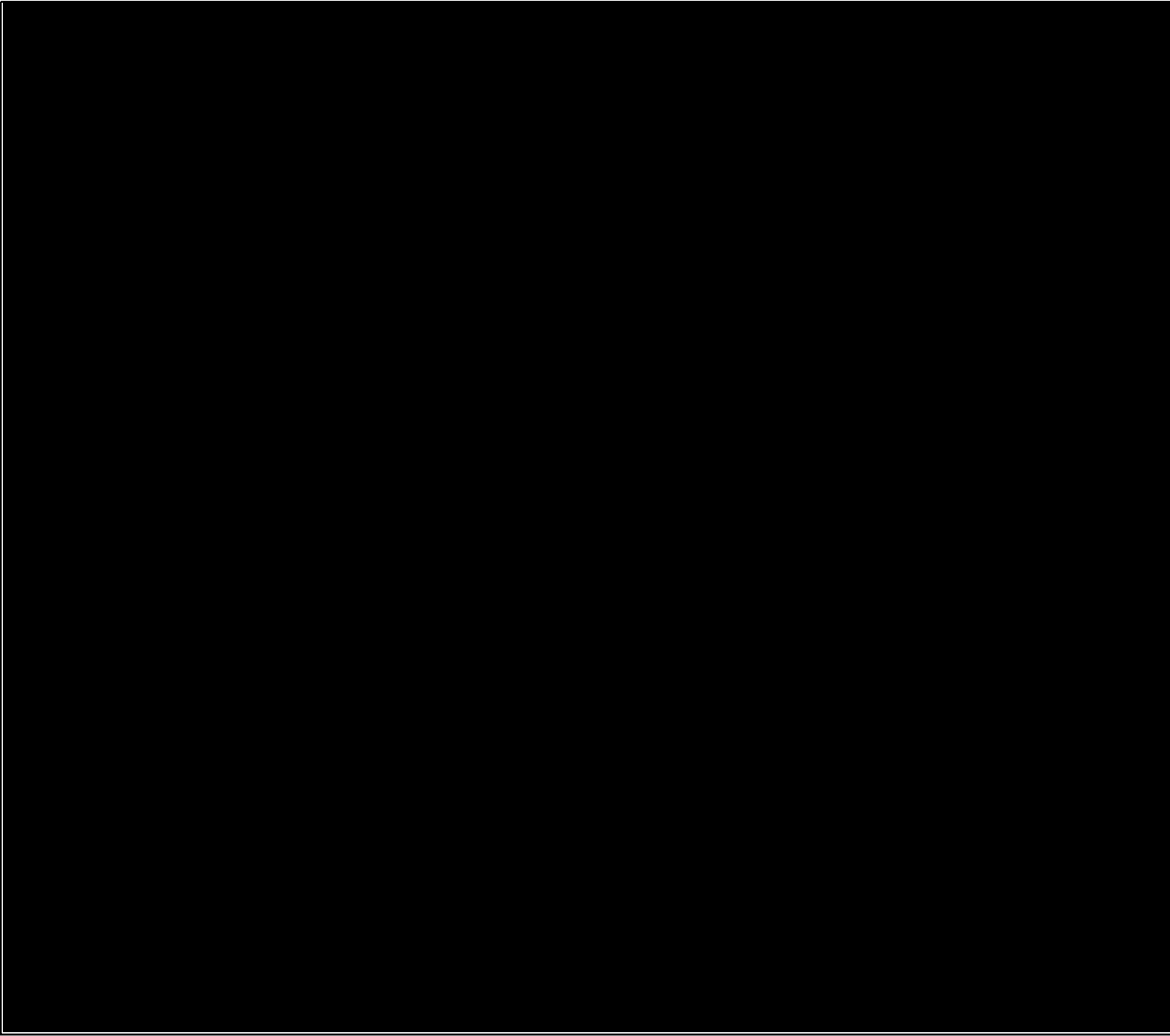
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| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| DBM-5 | Describe how the system provides the flexibility to extract and load data into standard non-proprietary software formats. | X | X | | |
| <p>Response: The VisualVault system provides for automated imports and exports of data, easily accommodating the routine extraction of information for purposes such as state and federal reporting. Our Community License model also enables external stakeholders to retrieve information from the system in a self-service fashion without increasing your on-going license costs.</p> <p>VisualVault supports manual imports and exports of data. The DHHS LIS includes using your specific business rules to set up the triggers for automated import and export of data. Configuring the automation for exports is standard for all our systems. We based our method for achieving the data import/export automation is based on our robust ECM suite of services that include a batch data import and export tool to import easily and export data as needed from a variety of file formats, including all Microsoft Office Products as well as PDF, RTF, MHT, HTML, Text, and CSV file formats.</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 | | |
| <p>Response: [REDACTED]. The features required to support intense medical device audits are also available to our public sector clients today in solutions configured on our platform.</p> <p>VisualVault records every action, activity, log-on, change in group membership, etc. that occurs within the solution. Using the history, changelogs, and revisions, support staff can see when events occurred and how data changed in the troubled process. Our record fully supports the before and after versions of the field content as well as the source of the update. The changelog below shows who has edited a field on an iForm and the time the change was made. Clicking the arrow on the left-hand column expands to show the details of what field was changed, its previous value, and the current value.</p> | | | | | |



| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| |  | | | | |
| | <p>The VisualVault system logs all the actions that take place in the system, and it is all reportable as required. It is important to note that our system also includes a Content Services Suite with a document management component that manages versions as time moves forward for a complete historical record.</p> | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| DBM-7 | Describe how the software database conforms to the Open Database Connectivity Standard (ODBC). | X | X | | |
| Response: [REDACTED] | | | | | |
| DBM-8 | Describe how the system provides utilities or other tools for administrative users to evaluate data relationships between tables. | X | X | | |
| Response: VisualVault will provide a diagram documenting key relationships to support effective reporting and knowledge of how information is stored within our platform. DHHS will not be required to perform administrative functions against any table in our system. All administrative functions are completed through configuring our platform or by our operations staff to tune the database as needed. A complete data dictionary will be provided for the DHHS LIS and updated as required over time. | | | | | |
| DBM-9 | Describe how the system prevents corruption or loss of data already entered into the system in the event of failure. | X | X | | |
| Response: All data stored by VisualVault is replicated to multiple data centers to ensure that data is available for use, given a potential failure in any geographic location. Transactions against the database are committed using standard industry best practices like committing or rolling back transactions, locking records, and other database development techniques to ensure the highest level of integrity when committing a record. Data hashes are completed against documents to ensure they are not changed during secure transmission. In the event of a sever data center failure, all traffic is routed to the next available data center. | | | | | |

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 |
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| 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 | | |
| <p>Response: </p>  | | | | | |
| Please see Attachment 5 VisualVault Backup and Recovery Procedure in our Technical Submission and at the end of this document. | | | | | |
| 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 | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| Response: [REDACTED] | | | | | |
| BKP-3 | Describe the Disaster Recovery Plan. Describe the service level agreement on returning the system back to operational service. | X | X | | |
| Response: [REDACTED] | | | | | |
| BKP-4 | Describe how backups of the system are able to be scheduled without user intervention and without interruption to the system. | X | X | | |
| Response: [REDACTED] | | | | | |
| 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 | | |
| Response: [REDACTED] | | | | | |
| BKP-6 | If there is a backup failure or downtime, describe the method and timing of communication to DHHS. | X | X | | |
| Response: Maintaining an open channel of communication with our clients is a top priority in these uncertain times. On the VisualVault website, we publish our system status, and our clients on that site may easily subscribe to notifications of changes, events, or notices of scheduled maintenance. (https://www.visualvault.com/home/about-us/systemstatus) Additionally, any reported issues will be handled in accordance to support SLAs and recovery time objectives. | | | | | |

Security and Audit Requirements

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| 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: http://dhhs.ne.gov/ITSecurity | X | X | | |

Response: VisualVault's Information Security Program is shaped by a collection of industry standards, laws, and regulations. Our management and information security staff ensure that the program aligns with the business' goals and considers the specific threats that our platform faces. Our policies, largely modeled after the National Institute of Standards Technology (NIST) standards, define our required security controls. Procedures specify the processes used to fulfill the requirements of the policies. To continuously improve our security posture, metrics, and program deliverables are collected and reviewed by appropriate stakeholders.

Requirements

The VisualVault solution is used by a large variety of types of organizations across the world. As a result, we must follow diverse compliance baselines and regulations. The following is a comprehensive list of the compliance baselines and regulations that we actively track compliance against to ensure that customers can maintain their compliance in the usage of the solution (any items denoted with an asterisk are externally validated):

- Service Organization Control 1 (SOC 1) Type 2 *
- Service Organization Control 2 (SOC 2) Type 2 *
- Health Insurance Portability and Accountability Act (HIPAA) / Health Information Technology for Economic and Clinical Health (HITECH) Act*
- Criminal Justice Information Systems (CJIS) *
- NIST SP 800-171 r1
- Generate Data Protection Regulation (GDPR)
- Cloud Security Alliance (CSA) STAR v3.0 - Level 1
- Voluntary Product Accessibility Template (VPAT) 508
- Web Content Accessibility Guidelines (WCAG) - Level A
- Food and Drug Administration (FDA) Title 11 Chapter 21 (FDA 21CFR11)
- Sarbanes Oxley Act (SOX)
- Gramm-Leach-Bliley Act (GLBA) Privacy and Safeguard Rules
- Open Web Application Security Project Application Security Verification Standard (OWAS ASVS) Level 2
- International Standards Organization (ISO) 15489:2016

Additionally, VisualVault leverages methodologies from various NIST publications to fortify our information security program:

- **NIST SP 800-34:** Contingency Planning Guide
- **NIST SP 800-37:** Risk Management Framework
- **NIST SP 800-47:** Interconnections
- **NIST SP 800-60 Vol. 1:** Mapping Information Systems to Security Categories
- **NIST SP 800-61:** Incident Management

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| | <ul style="list-style-type: none"> • NIST SP 800-88: Media Sanitation • NIST SP 800-137: Continuous Monitoring • NIST SP 800-160 Vol. 1: Systems Security Engineering <p data-bbox="157 329 533 358">Overview of Security Standards</p> <div data-bbox="417 358 1640 1073" style="background-color: black; width: 100%; height: 100%;"></div> <p data-bbox="157 1092 1745 1122">The following items are an accounting of all DHHS IT requirements for cloud providers and VisualVault’s response to each requirement:</p> <ul style="list-style-type: none"> • <i>(2.8.1) The CSP or third-party host (3PH) must provide evidence of secure storage of access credentials that are at least equal to that of DHHS internal systems.</i> VisualVault can provide the mechanics of our encryption of access credentials upon request. Access credentials are stored using FIPS 140-2 compliant encryption methods. • <i>(2.8.2) Access to the cloud service requires multi-factor authentication based on data classification levels.</i> VisualVault supports SAML 2.0 multi-factor authentication. • <i>(2.8.3) De-provisioning of credentials must occur within two (2) hours of de-provisioning of the internal system credentials.</i> Credential of VisualVault de-provisioning happens immediately. | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| | <ul style="list-style-type: none"> <li data-bbox="210 219 1890 284">• <i>(2.8.4/2.8.5) Encrypt Information using IS&T approved technology for information in transit. Encrypt Data at rest using FIPS 140-2 or equivalent standards.</i> VisualVault leverages FIPS 140-2 compliance encryption for all customer data at rest and in transit. <li data-bbox="210 316 1890 430">• <i>(2.8.6) All equipment removed from service that contained DHHS information must be sanitized and verified by DHHS before allowing that equipment, information storage space, or media to be destroyed or assigned for reuse. Destruction certificates must be provided to the Agency.</i> VisualVault leverages AWS and stores data encrypted on AWS resources. Customer data is never stored on physical media, only virtual cloud media. <li data-bbox="210 462 1890 527">• <i>(2.8.7) CSP/3PH will conduct vulnerability scanning and testing on a schedule approved by the AISO. Results will be provided to DHHS.</i> VisualVault maintains weekly vulnerability scans and will work with the AISO on the approval of a schedule. <li data-bbox="210 560 1890 657">• <i>(2.8.8) Patch management of hardware and software at the CSP/3PH is required to meet or exceed the same standards required at DHHS.</i> VisualVault, at a minimum, follows FedRAMP patch management standards: mitigation of high-risk vulnerabilities in 30 days, medium risk in 90 days, and low risk in 180 days. <li data-bbox="210 690 1890 803">• <i>(2.8.9) CSP/3PH will meet all DHHS requirements for the chain of custody and breach notification if DHHS requires forensic analysis. CSP/3PH will maintain an incident management program that notifies DHHS within one (1) hour of identifying a real or suspected breach.</i> VisualVault maintains procedures for chain of custody as well as breach notification within our incident management plan and meets the listed requirements. <li data-bbox="210 836 1890 933">• <i>(2.8.10) CSP/3PH will provide evidence of audit and assessment of the security of the service environment and will agree to reasonable inspection by DHHS-authorized parties.</i> VisualVault has multiple attestations for security audits of its service environment and agrees to reasonable inspection by DHHS-authorized parties. <li data-bbox="210 966 1890 1079">• <i>(2.8.11) CSP/3PH is required to advise DHHS on all geographic locations of DHHS information. CSP/3PH shall not allow DHHS information to be stored at or accessed from primary or alternate operating locations outside the Continental United States (CONUS) without explicit approval by DHHS.</i> VisualVault stores the entirety of its hosted environment within the AWS East/West cloud, a service that is located within the CONUS. Leveraging our web application firewall, we can limit access to the customer environment geographically or via IP address(es). <li data-bbox="210 1112 1890 1209">• <i>(2.8.12) Privileged access roles at the CSP/3PH are required to meet the same vetting standards of privileged access personnel at DHHS, such as background checks, etc.</i> VisualVault requires background checks and confidentiality agreements before employment and performs background checks on employees every five years. <li data-bbox="210 1242 1890 1388">• <i>(2.8.13) Contracts with CSP/3PH's shall have service level agreements (SLAs) and business associate agreements in place that clearly define security and performance standards. Contracts shall also have appropriate verbiage for the level of information maintained (e.g., IRS, Publication 1075, exhibit 7 languages for systems or functions accessing FTI). Contracts will address how performance and security will be measured, monitored, and reported. Contracts will also establish an enforcement mechanism for SLA compliance.</i> VisualVault will work with DHHS to ensure that the requested clauses are included in any contract. | | | | |

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| | <ul style="list-style-type: none"> <i>(2.8.14) CSP/3PH will assure compliance with applicable federal and state privacy and security regulations. CSP/3PH will provide adequate security and privacy training to its associates and provide the AISO with adequate evidence of this training. VisualVault maintains a robust compliance program that tracks against multiple federal, state, and local standards. Additionally, we maintain an ongoing SETA program and can provide evidence upon request.</i> <i>(2.8.15) CSP/3PH will provide DHHS with the ability to conduct a reasonable search to meet Nebraska Public Records Law. VisualVault has built-in search functionality, and access to comply with Nebraska's Public Records Law will be provided in a secure manner that is consistent with the security required by the DHHS Licensure Information System.</i> <i>(2.8.16) Before contracting with a CSP/3PH, DHHS shall have proactive records planning in place to ensure the ability to have timely and actual destruction of records per DHHS record retention policies. VisualVault supports this requirement with data and document retention functionality that will track the content's availability for destruction.</i> <i>(2.8.17) CSP/3PH will provide documentation, evidence, or allow reasonable access by Agency officials to ensure compliance with these standards. VisualVault will provide documentation, evidence, and third-party attestation that it continuously complies with the standards outlined in this RFP.</i> | | | | |
| 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"> Health Insurance Portability and Accountability Act (HIPAA) of 1996 Health Information Technology for Economic and Clinical Health Act (HITECH) of 2009 Nebraska Electronic Signature Statute http://www.nebraskalegislature.gov/laws/statutes.php?statute=86-611 Privacy Act of 1974 45 CFR 164 Security standards for PHI <p>Refer to the Nebraska DHHS Information Systems and Technology Security Policies and Standards for more information (http://dhhs.ne.gov/ITSecurity)</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 | | |
| <p>Response: VisualVault maintains an annual attestation of meeting SOC1, SOC2, and HIPAA standards for security.</p> <p>DHHS can meet the requirements of the electronic signature statute in multiple ways in VisualVault, including leveraging internal authentication, SAML 2.0 authentication, or signing using our handwritten signature functionality. Our SOC1, SOC 2, and HIPAA attestations are included in the Attachment section of our Technical Submission and at the end of this document.</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"> Specification on configuration of the unique user ID. How the unique user ID is assigned and managed. How the unique user ID is used to log system activity. How the system handles the creation of duplicate user ID accounts. | X | X | | |

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| | <p>Response: VisualVault leverages SAML 2.0 integration to ensure that any identifiers for access are unique. Access within the system, including read, write, and delete are logged by the user ID used to perform the actions. User IDs, whether federated or not, are assigned unique identifiers which prevents duplication.</p> | | | | |
| SEC-4 | <p>Describe how the system meets the DHHS standard for administering passwords:</p> <ol style="list-style-type: none"> 1. Initial Password assignment. 2. Strong Password Requirements. 3. Password reset process. 4. Password expiration policy. 5. Password controls for automatic lockout access to any user or user group after an administrator-defined number of unsuccessful log-on attempts. | X | X | | |
| | <p>Response: VisualVault allows the customer to configure the settings for initial password assignment, strong password requirements, password expiration, and automatic lockout after unsuccessful login attempts. All settings can be configured to meet the DHHS standard for administering passwords. The password reset process for internal authentication is requesting a password reset link per e-mail. For any SAML 2.0 integration, DHHS would handle password reset responsibilities.</p> | | | | |
| SEC-5 | <p>Describe how the system meets the requirements for unique system administration access. Include:</p> <ol style="list-style-type: none"> 1. Specification on configuration of the unique system administration ID (approximately 30 with ability to access and manage the applications across all license types). 2. How the unique system administration ID is assigned and managed. 3. How the unique system administration ID is used to log system activity. | X | X | | |
| | <p>Response: VisualVault leverages SAML 2.0 integration to ensure that any identifiers for access are unique. All administrative access within the system can be customized per DHHS' specifications, including creating different levels of administrative access. Access within the system, including read, write, and delete are logged by the user ID used to perform the actions.</p> | | | | |

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| SEC-6 | Describe how the system meets the requirements for unique database administration access. Include: <ol style="list-style-type: none"> 1. Specification on configuration of the unique database administration ID. 2. How the unique database administration ID is assigned and managed. 3. How the unique database administration ID is used to log system activity. | X | X | | |
| Response: All users access the database via their unique identifiers by leveraging Active Directory integration or being assigned individual identifiers. VisualVault maintains a system of approval for administrative access and reviews access on at least an annual basis. All logins into databases are monitored continuously. | | | | | |
| SEC-7 | Describe how the system supports the use of multi-factor authentication. | X | X | | |
| Response: VisualVault supports SAML 2.0 integration for leveraging SAML 2.0 Multi-factor Authentication capable providers. | | | | | |
| SEC-8 | Describe any security processes for managing security updates, and integrated components subject to vulnerability, including anti-virus. | X | X | | |
| Response: VisualVault monitors security solutions both manually and automatically to ensure updates are applied. A manual review of security updates happens weekly. | | | | | |
| SEC-9 | Describe how the system provides the ability to maintain a directory of all personnel who currently use or access the system. | X | X | | |
| Response: VisualVault maintains a database of all authorized user accounts, which can be manually modified by authorized administrators and automatically updated through Single Sign On (SSO) activities. SSO may be used to keep user metadata updated, including security group membership and email address. | | | | | |
| SEC-10 | 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. 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: https://nitc.nebraska.gov/standards/8-303.pdf | X | X | | |
| Response: VisualVault supports SAML 2.0 integration, which allows SSO when using ADFS in conjunction with AD services. | | | | | |

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| 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"> 1. How and where the system stores security attributes or roles (e.g., LDAP attributes, database tables, files). 2. The interface between the LDAP and the application, if roles are assigned in an LDAP directory. 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). 4. How groups are defined and how roles and security are applied to each group. 5. How access limits are applied to screens and data on screens by role or group. 6. How users are created and assigned to one or more roles or groups. 7. How role and group creation and assignment activity is logged. | X | X | | |
| <p>Response: [REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> | | | | | |
| 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 the 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: http://dhhs.ne.gov/ITSecurity</p> | X | X | | |
| <p>Response: VisualVault allows for System Administrators to set a timeout period for users after a predetermined period of inactivity. When a user has not interacted with the system for the configured amount of time, they are automatically logged out of the session. Users who interact with the system will remain logged into the system as long as their inactivity does not exceed the configured timeout, they have not logged themselves out of the session, or they have not closed their browser. The default timeout period is for 20 minutes before a user is logged out due to inactivity.</p> | | | | | |

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| 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: http://dhhs.ne.gov/ITSecurity</p> | X | X | | |
| <p>Response: All customer data held within VisualVault’s infrastructure is encrypted at rest and during transmission leveraging FIPS 140-2 compliant encryption mechanisms.</p> | | | | | |
| 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"> 1. The user ID of the person who made the change. 2. The date and time of the change. 3. The physical, software/hardware, and/or network location of the person while making the change. 4. The information that was changed. 5. The outcome of the event. 6. The data before and after it was changed, and which screens were accessed and used. <p>Refer to DHHS Information Technology (IT) Audit Standard (DHHS-IT-2018-001F DHHS IT Audit Standard) for specific audit requirements: http://dhhs.ne.gov/ITSecurity</p> | X | X | | |
| <p>Response: VisualVault follows NIST SP 800-53 Rev4 recommendations for audit VisualVault was originally designed to be a compliance tool for the medical industry. Therefore, our platform’s core compliance and audit services are consistently running to track every touch, to, in, and through the system. Each touch and action are automatically recorded, logged, and are available for reports and audits. The system not only tracks the touches and actions but also maintains what was changed, who changed it, and a copy of the original version. Items 1-6 are fully supported and reportable by our system.</p> | | | | | |
| 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"> 1. The user ID of the person who viewed the data. 2. The date and time of the viewed data. 3. The physical, software/hardware, and/or network location of the person viewing the data. 4. The information that was viewed. <p>Refer to DHHS Information Technology (IT) Audit Standard (DHHS-IT-2018-001F DHHS IT Audit Standard) for specific audit requirements: http://dhhs.ne.gov/ITSecurity</p> | X | X | | |
| <p>Response: VisualVault maintains the IP address, username, date/time, and MAC address of any actions taken within the system, including read, write, delete, and modify actions. This audit logging applies to all content within our system, including confidential and highly restricted data. All these audit functions are reportable, and the report may be scheduled regularly. If there are a series of events, based on DHHS business rules, that occur in the system audit, a notification or alert may be sent to the system administrator or other designee.</p> | | | | | |

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| 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 | | |
| <p>Response: In every solution we configure, our team configures mechanisms for key administrative staff to override edits in the system. To facilitate an override, the administrator would navigate to the record in question. Then they would select a field only visible to administrators to indicate they want to override values on the record. The fields on the record will be unlocked so the administrator can change and save the record without applying business rules. The record is then locked back down into its normal configuration. All changes are logged in a changelog that cannot be modified by any user. The changelog records the previous value, new value, who changed the record, the date and time the record changed, and the revision of the record when the value changed.</p> | | | | | |
| SEC-17 | Describe how the system produces daily audit trail reports and allows inquiries, showing updates applied to the data. | X | X | | |
| <p>Response: VisualVault was originally developed as a compliance management solution for medical device manufacturers. The features required to support intense ISO compliancy and Healthcare audits are also available to the DHHS LIS. Our system records every action, activity, log-on, change in group membership, etc. that occurs within the solution. Using the history, changelogs, and revisions, support staff can see when events occurred and how data changed in the process as well as an original version of the data.</p> <p>Daily audit reports tracking every event required by DHHS will be configured by the VisualVault Implementation Team and delivered with the system. DHHS will be trained on how to modify these reports as well as how to create new audit reports as requirements may change over time. The reports may be configured to show only daily events or a defined timeframe, or you have the flexibility to have both reports. There is no limitation to the number of reports that may be created and used by DHHS. Also, these reports may be presented to users in the form of graphical dashboards.</p> <p>Reports may be created to also show KPIs within the system as required. For example: Now that licensees are working within the system, you can accurately report on once all documentation has been submitted for a license, the actual time to process it. The system records with data and time stamps each action, so numerous combinations of KPIs become reportable data to track and report on the licensing process.</p> | | | | | |
| 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 | | |
| <p>Response: VisualVault retains audit records for at least one year. Once the minimum retention time has passed, we continue to retain audit records until it is determined they are no longer needed for an administrative, legal, audit, or other operational purposes. When an audit record is no longer needed, or more storage is required, the oldest logs are purged from our systems.</p> | | | | | |
| 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 | | |
| <p>Response: Our system leverages the AWS Key Management Service (KMS) to encrypt every file with its key upon its storage within AWS S3 from VisualVault. This methodology ensures that files will maintain their integrity and confidentiality as each request to access the file will require the key used to store it.</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 | | |

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| Response: All information stored within VisualVault requires the proper access channels to access information. If any of the access channels suffer a failure, access to VisualVault data would be prevented until an alternate access channel is established. | | | | | |
| 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 | | |
| Response: VisualVault has multiple safeguards in place to protect against the loss of data. For form data, we save the working state of a form and allows for versioning to be configured. For data uploaded into our system, integrity checks are performed upon storage, and our system infrastructure maintains multiple copies of each file. | | | | | |
| 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 | | |
| Response: VisualVault supports an entry banner that prominently displays after login. | | | | | |
| 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 | | |
| Response: VisualVault supports a pre-login banner that prominently displays before login. | | | | | |
| 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 | | |
| Response: VisualVault can be configured to display restriction warnings on screens and reports. Data entry screens support PHI and PII field masking. | | | | | |
| 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 | | |
| Response: VisualVault notifies customers immediately upon incidents that involve the potential breach of any customer data as part of our incident response procedure. We publish our system status, and our clients on that site may easily subscribe to notifications of changes, events, or notices of scheduled maintenance. (https://www.visualvault.com/home/about-us/systemstatus) Additionally, any reported issues will be handled in accordance to support SLAs and recovery time objectives | | | | | |
| 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 | | |
| Response: [REDACTED] | | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| 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 | | |
| Response: [REDACTED] | | | | | |
| 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 | | |
| Response: [REDACTED] | | | | | |
| 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 | | |
| Response: [REDACTED] | | | | | |
| 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 | | |
| Response: [REDACTED] | | | | | |
| 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 | | |
| Response: [REDACTED] | | | | | |

Data Conversion Requirements

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| 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>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:

[Redacted response content]

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |
| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |
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| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |
| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |

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| 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>Response: As soon as the data model for the new solution is known, our team begins the work to crosswalk the data elements from the legacy source system to the new VisualVault solution. User interviews are conducted, as necessary, to understand the context and connotations behind any data elements that are not well documented. Design documents are produced to identify the way data will be mapped from old to new environments. These documents are reviewed by state technical and program staff people.</p> <p>Control reports and mock conversions are important to verify the accuracy of the mapping and to inspect whether the data mapped is producing the results expected. The work plan allows for two mock conversions before the actual go-live. During these mock conversions, the conversion programs are run, and results are verified against expectations. These identify discrepancies in the data quality as well as the mapping assumptions. Users and VisualVault staff review these control reports and identify places where data should be mapped differently.</p> <p>As part of the development of control reports, and the use of these control reports to manage the quality of the data migration, the unique identifiers will be used to count records and verify that each unique person or license holder has been successfully migrated to the new environment. VisualVault anticipates migrating the data in phases to support each of the different license types with their appropriate go-live target dates.</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.

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| PTT-1 | Describe how the system supports several environments, i.e., production environment, test environment, and training environment. | X | X | | |
| <p>Response: VisualVault provides two test environments and one production environment:</p> <ul style="list-style-type: none"> • Development • Sandbox-Test • Production environment <p>As the solution moves from development towards production, our experienced team will configure and develop the DHHS-specific LIS and release it to the Sandbox-Test environment. The entire project team, including designated DHHS staff, will test the system for compliance, identify bugs, resolve any issues. Once the system meets all the requirements, it is migrated to the Production environment. In the Production environment, UAT is completed, and the system is released for use by all authorized users.</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: The Sandbox-Test environment is kept active with non-personal identifiable information (PII) data so that it can operate as a training environment. Authorized users can log in and view training videos and use this environment to practice developing forms and reports before performing the tasks in the live production environment.</p> | | | | | |
| 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: Once the solution goes into production, the Sandbox-Test environment remains in place to support future testing and training of users. We recommend that trainees register licensees for themselves so they can experience what citizens experience and then take actions in the system to learn how they interact with licensees as a state employee. If the state wishes to reset the training environment with key licensee information to increase the structure of future training, VisualVault professional services can provide migration scripts that delete existing data and refreshes the training environment.</p> | | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-------------|---------------|------------------|
| 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 | | |
| <p>Response: VisualVault will provide a comprehensive, multi-cycle test plan to ensure that the solution will be adequately tested. Testing will be exercised as each phase of the solution is implemented. As a result, the test plans and supporting technical documentation will be updated to reflect the configuration and decisions made throughout the project. Test plans and software to maintain the test cases will be used to quality check the system. The following phases of testing occur to prepare the solution for the production Go-Live date.</p> <p>Unit Testing - As part of each development sprint, we conduct unit testing to ensure the sprint deliverables perform as defined in the functional specification.</p> <p>End-to-End Testing - As the solution takes shape, the VisualVault QA Team uses test cases to ensure each unit interacts correctly together to reflect the parameters of the design document.</p> <p>User Acceptance Testing - Key customer staff are trained on the solution. Trained customer staff will test the solution from end-to-end using the test plan to ensure the solution operates to the design requirements. Bugs are reported, fixed, and retested. The second half of this testing occurs with production data, migrated into the testing environment. All high priority issues resolved. Key medium issues resolved.</p> <p>Production Acceptance Testing - User acceptance testing repeated in the production environment to qualify that it is configured correctly. Data migrations tested and qualified for production. All high and medium priority issues identified are resolved. Go live date set and approved by the customer.</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 | | |
| <p>Response: The automation of business processes creates excitement over the concept of process improvement, anxiety from the fear of the unknown, and in some cases, unease from those who are uncomfortable to learn something new and different. VisualVault understands the feelings that go along with modernizing operations and has managed the change process with many customers spanning from California to Florida. We take the role of a trusted advisor for change management and engage with your team to promote best practices based on our experience. We specifically address how the change will positively impact your team.</p> <p>The positive momentum for a successful change management process starts in the Discovery phase, with inclusion and clear communication. We gain input from your team as to the process we are working to improve. We make no conclusions until we meet with all stakeholders (as you direct) to make the process as inclusive as possible. Historically, team members on the front line provide invaluable input and observations as they deal with reality on a day-to-day basis to achieve objectives. Inclusiveness, within reason, is the key component of successful change management. This will also extend to your providers. Giving them insight and asking for input enables our team to deliver these processes with a high acceptance rate.</p> <p>[REDACTED]</p> <p>[REDACTED]</p> | | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| | <p>Information security is an important part of VisualVault's change management process and is integrated multiple times during the process, including during the submission, approval, and verification stages. It is important to note that before Go-Live, we document and track changes to costs and will evaluate any change that occurs to the baselines with the Project Sponsor. Our team will maintain the Change Control Log on the Project SharePoint site, as well as any Change Request forms and additional documentation about the Change Request. Project management will monitor and update the documentation after the changes are mutually agreed-on, documented in a written, signed document.</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 www.hl7.org | X | X | | |
| Response: [Redacted] | | | | | |
| 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 | | |
| Response: [Redacted] | | | | | |
| 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 |
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| Response: | [Redacted] | | | | |
| INT-4 | Describe how the system provides necessary application program interfaces and/or web services to allow DHHS to create interfaces to and from the system. Exact number of imports/exports required. DHHS anticipates disciplinary databanks, compacts, schools, exam companies, and employers may interact with the system. | X | X | | |
| Response: | [Redacted] | | | | |
| 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 | | |
| Response: | [Redacted] | | | | |
| 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: | [Redacted] | | | | |


| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| 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 | | |
| Response: [Redacted] | | | | | |

System Performance Requirements

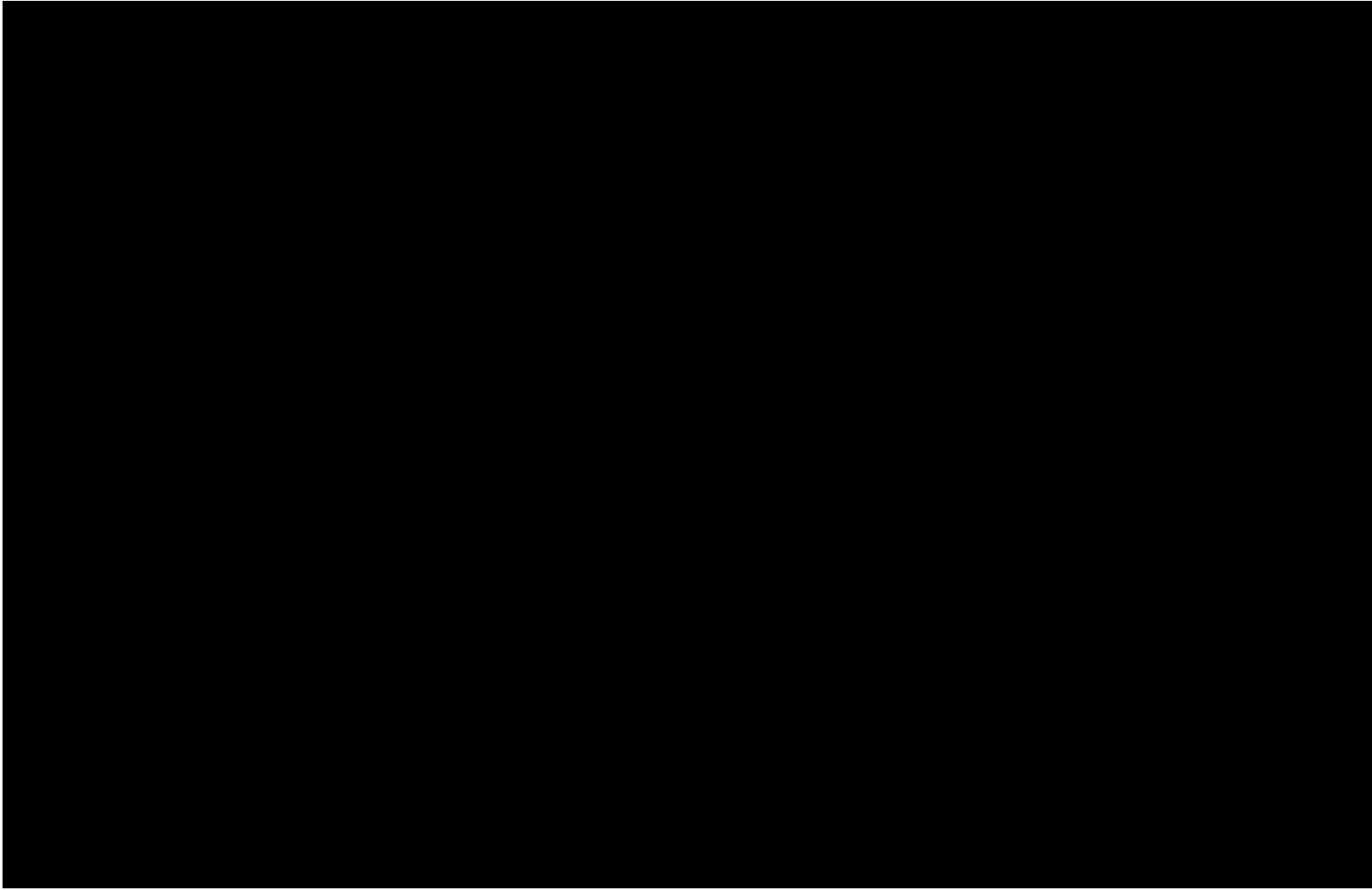
This section describes requirements related to the systems' on-line performance, response times, and sizing from a system architecture standpoint.

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 |
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| PER-1 | Describe the system performance functionality and monitoring tools. | X | X | | |
| Response: [Redacted] | | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| 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"> 1. Record Search Time 2. Record Retrieval Time 3. Transaction Response Time 4. Print Initiation Time 5. Subsequent Page Display Response Time 6. Document Availability <p>Note: These response times do not include network latency, which will be measured and reported by DHHS.</p> | X | X | | |
| <p>Response: For functions 1-5, VisualVault average response time is within 2 seconds, and under 5 seconds 100% of the time. For Function 6, document retrieval, the initial response time also falls within the 2-second/5-second range for initial bytes received by the client; total document download time will, of course, vary by file size.</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 | | |
| <p>Response: [REDACTED]</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 | | |
| <p>Response: Our modern cloud-based VisualVault system is scalable to meet the needs of Nebraska’s DHHS statewide LIS both in terms of automatically scaling for an increased number of users as well as content and data. Our proposed solution was designed as a SaaS-based platform. We leverage the resources of the cloud to scale to manage long term and peak usage times quickly. Our Infrastructure Team, based in Tempe, AZ, manages, and monitors system usage.</p> <p>The VisualVault Licensing System is recognized by industry analyst Forrester’s in their February 2019 research paper, “The Five Key Trends That Will Shape Your 2019 Content Services Strategy” as an emerging content and data services SaaS-based platform. Gartner named VisualVault to its Magic Quadrant in 2018 for leading Content Services Platforms and Forrester again in its 2019 Wave for Content Service Providers, where the highlighted quote was extracted.</p> <p>Our platform is uniformly designed to manage high volumes of transactional data and content without performance degradation. [REDACTED].</p> <div style="text-align: right;"> <p><i>VisualVault is a scalable, secure, cloud platform well suited for high-volume, structured content processes, including those that serve external users.</i></p>  </div> | | | | | |

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| 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 | | |
| Response: [REDACTED] | | | | | |
| 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 | | |
| Response: [REDACTED] | | | | | |

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 | | |

Response: To create a positive user experience and be embraced by the DHHS LIS users and licensees, the solution must notify the user of errors made, and quickly let them know what the errors are and how to correct the errors. One of the strengths of the VisualVault iForms is that the DHHS LIS team will be able to set the specific rules for the entry of complete information into each form. iForms enable DHHS to apply business rules and logic to each question and answer, including required fields and create the parameters for the completeness of the answer. Also, DHHS may customize the error messaging the user receives to help them understand exactly what needs to be corrected and how.

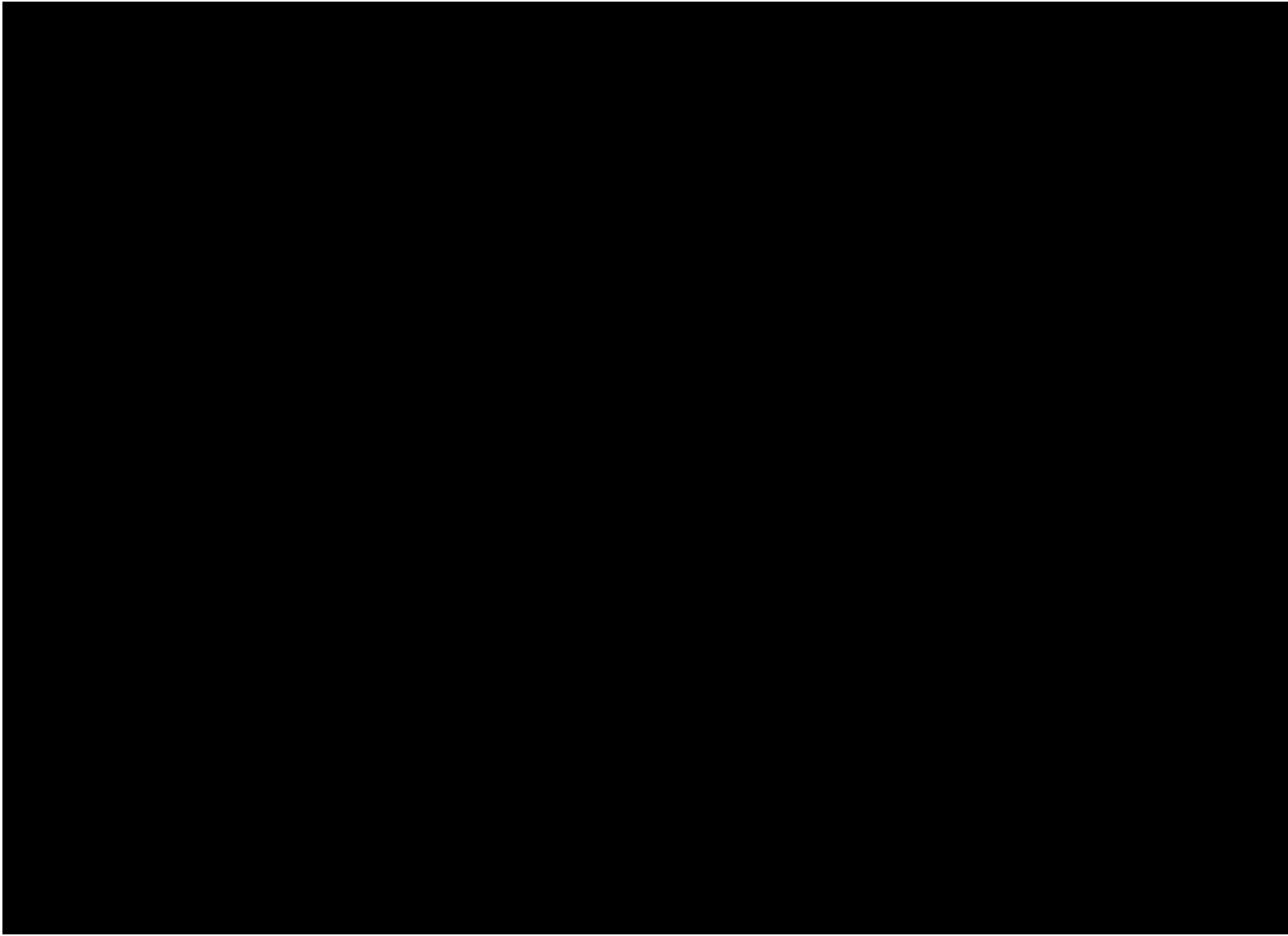
The error message may also contain links to user guides for further explanation of the process they are trying to complete. This is immediate and provides details and sample screenshots for assistance. The required fields have built-in instructions. By hovering over the icons at the end of each required field, a list of instructions or a link to a "How-To" video will appear for the user. The text in all messages is completely configurable, and we encourage DHHS to use the language their users will understand. Experience tells us that these message fields are often changed as the system goes into the field, and feedback is received. This feedback is invaluable, and the VisualVault system is designed for the System Administrators to be able to make these changes as required. The following screenshots provide DHHS a brief overview of the type of online help available to our clients.

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
|-------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-------------|---------------|------------------|
| 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: VisualVault has stated throughout this response that the DHHS LIS will be available to all Nebraska licensees and stakeholders in a self-service 24/7/365 model. For this to be realistic and achieve a successful Nebraska Statewide DHHS LIS, the system must be intuitive for all licensees and stakeholders involved in the program, including providing online access for user guides that are specific to the user's role, easy to understand and navigate.

The more concise and intuitive that the training materials are correlated to a higher degree of success that users will have using the new LIS. The acceptance and adoption of the new LIS by all stakeholders for this program will result in the intended result DHHS is seeking increased efficiencies and improved delivery of services to Nebraska's citizens by vetted licensees.

Job Aids - Short How-To videos and documents are used as a quick resource focused on critical topics. We provide these training materials to users before and during training to support what is learned and serve as an electronic post-training reference.

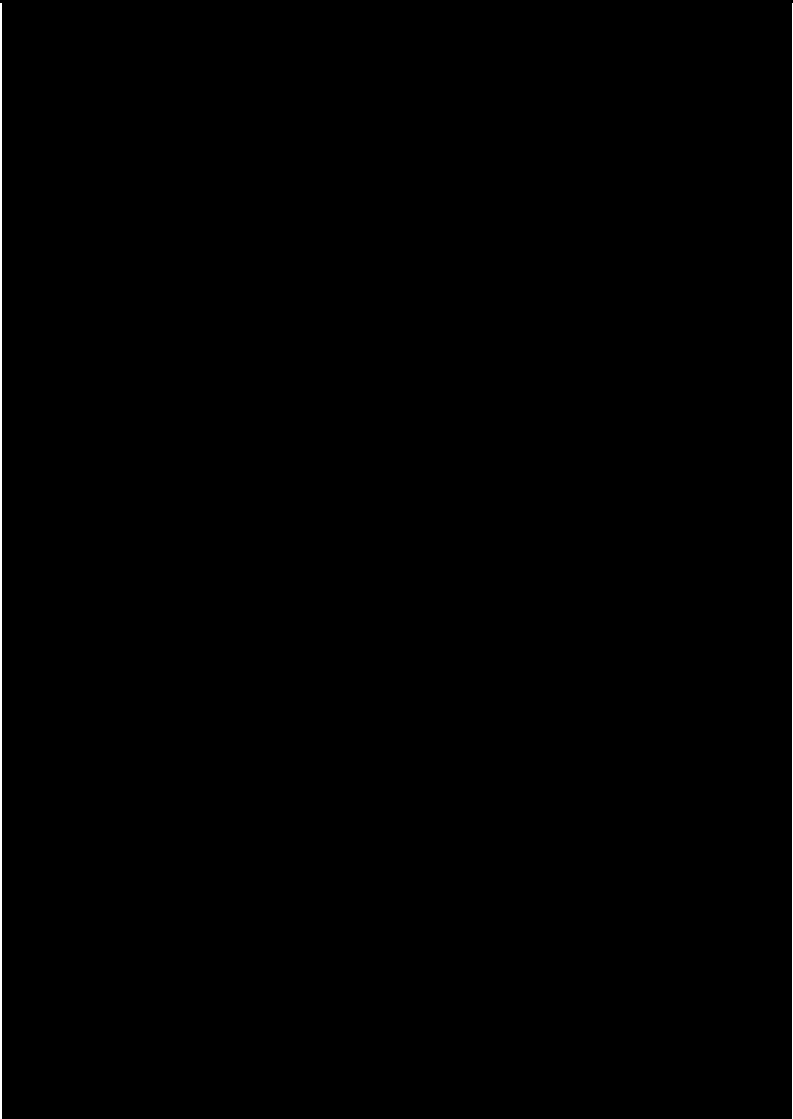
Electronic User Guides by User Roles - The DHHS LIS will be delivered with documentation that includes end-user manuals and user guides in addition to the training materials. These are available in an electronic format for your team's convenience and accessible from each user's Help screen available from the user dashboard, as shown in the following diagrams.

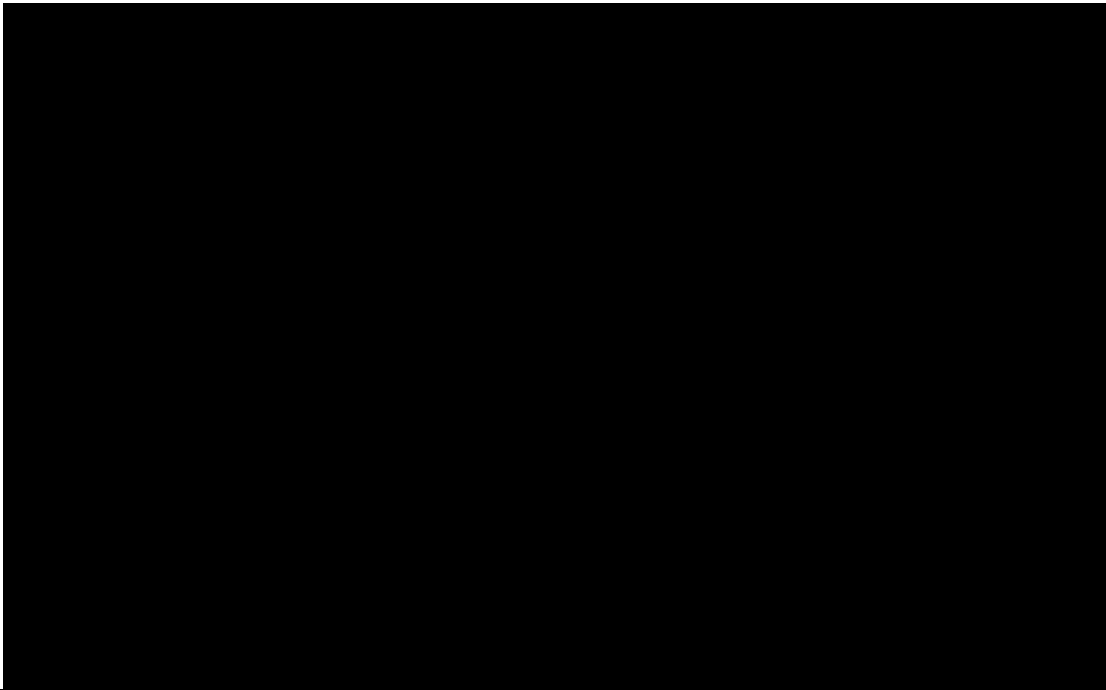
User Training Guides, including an online Quick Reference Guide, will be provided documenting the use of the system. This manual will also be used in conjunction with the User training class. A sample Table of Contents from a sample System Administrator's training manual is included in the graphic to the right.

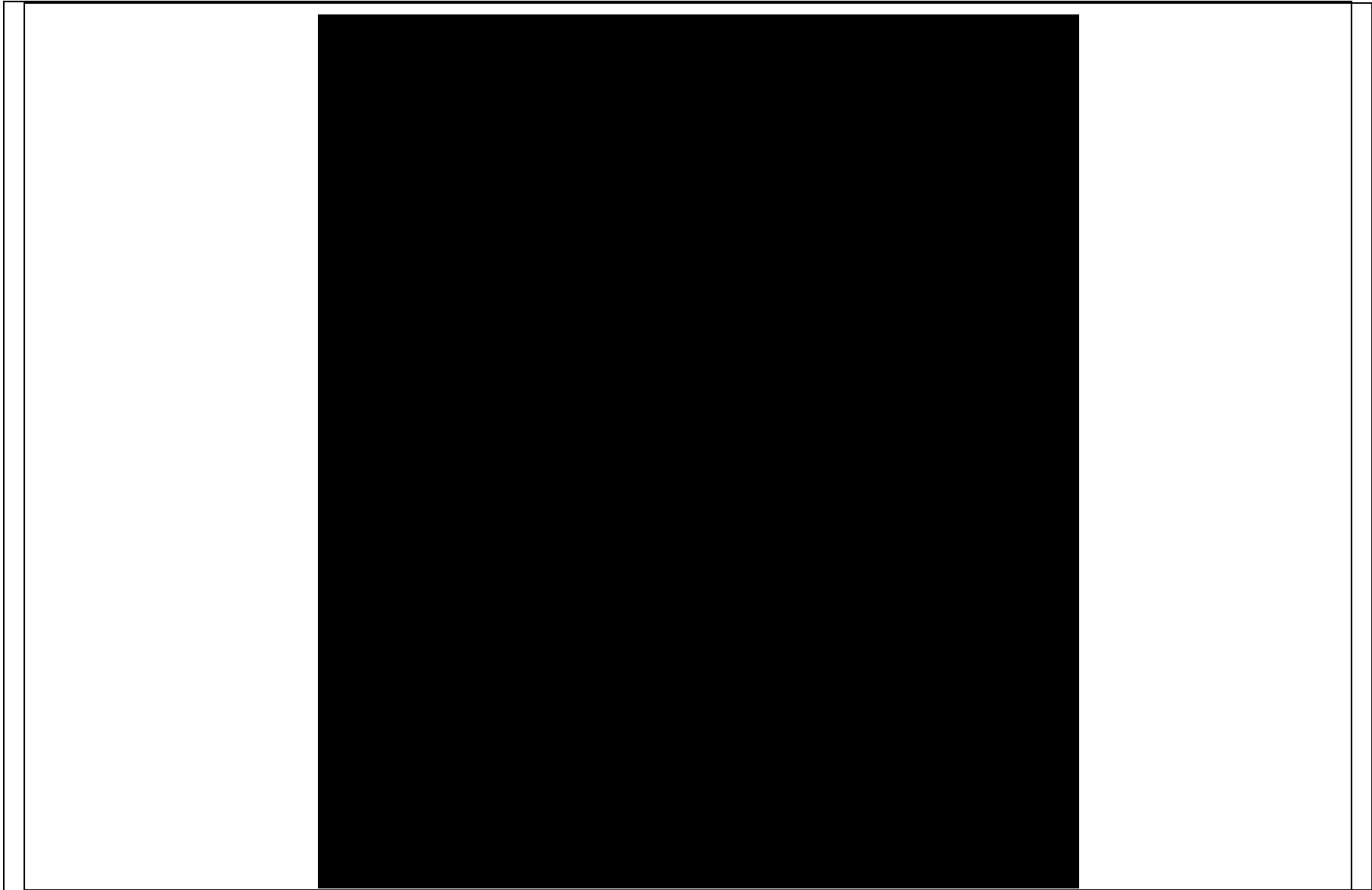
The manual contains the course objectives, process flows, new terms, concepts, related policies, roles and responsibilities, review questions, business scenarios, screen examples, and exercise data such as User IDs and passwords for hands-on practice in the Sandbox-Test environment.

Help Desk Documentation - Short How-To documents that DHHS System Administrators and designated Help Desk personnel can use to quickly lookup the process steps to aid a user that is having issues navigating and or completing a job function are helpful and create efficiencies for our clients. This documentation will contain process flows, terms, concepts, policies, and screen examples.

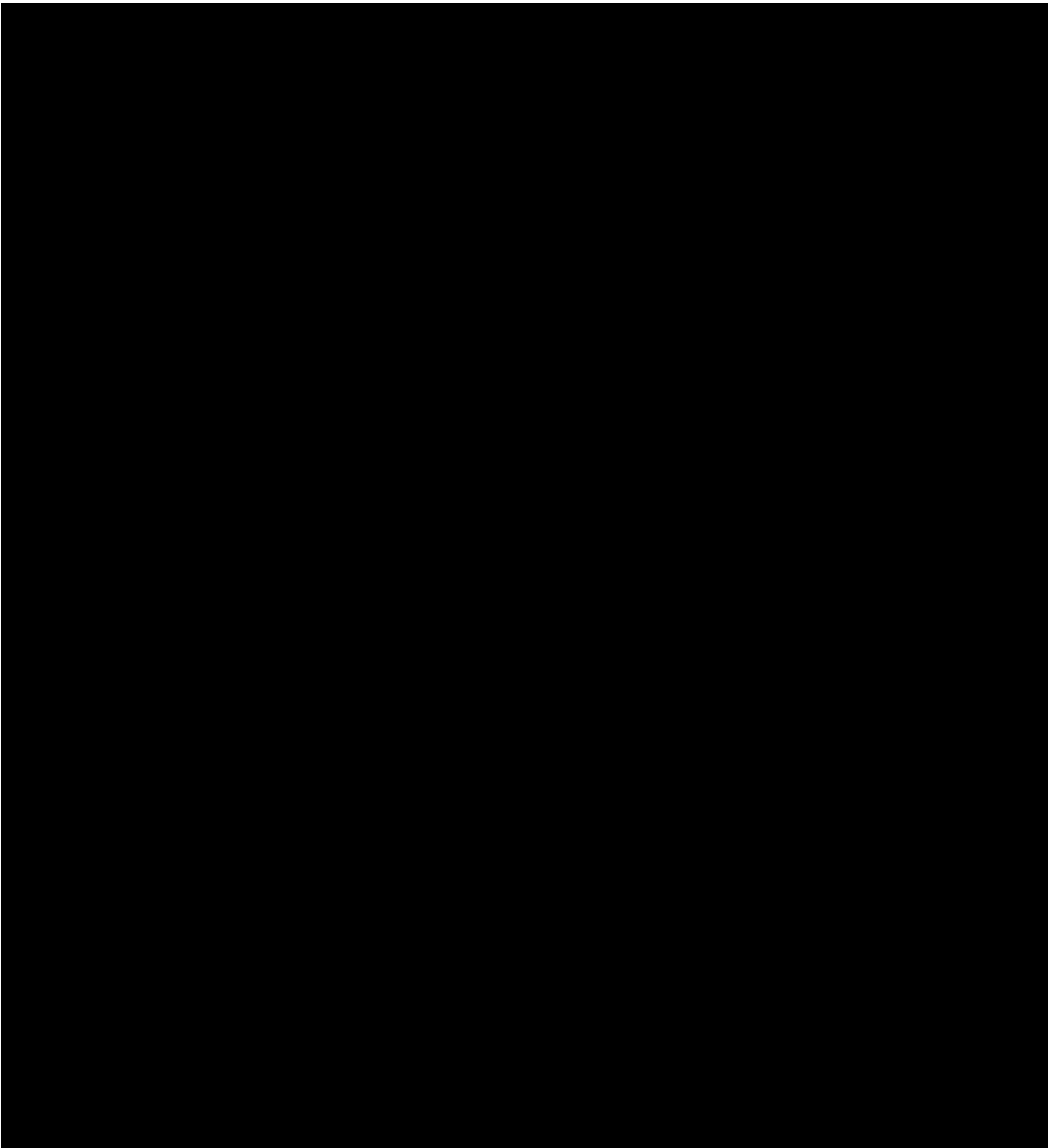
The following are screenshots from VisualVault users guides as well as a How-To video that users find very successful with Licensee populations (once or twice a year user groups).





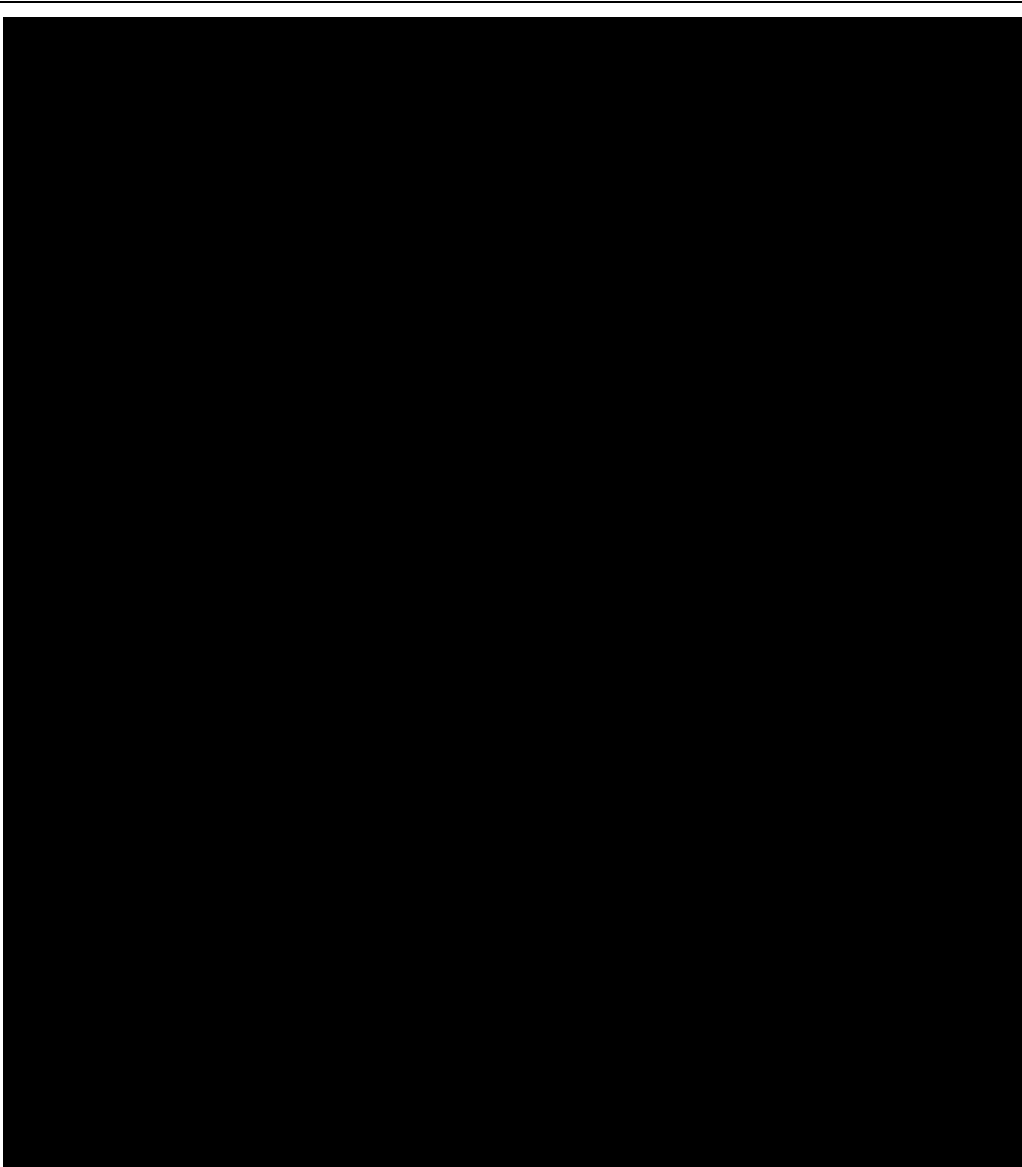


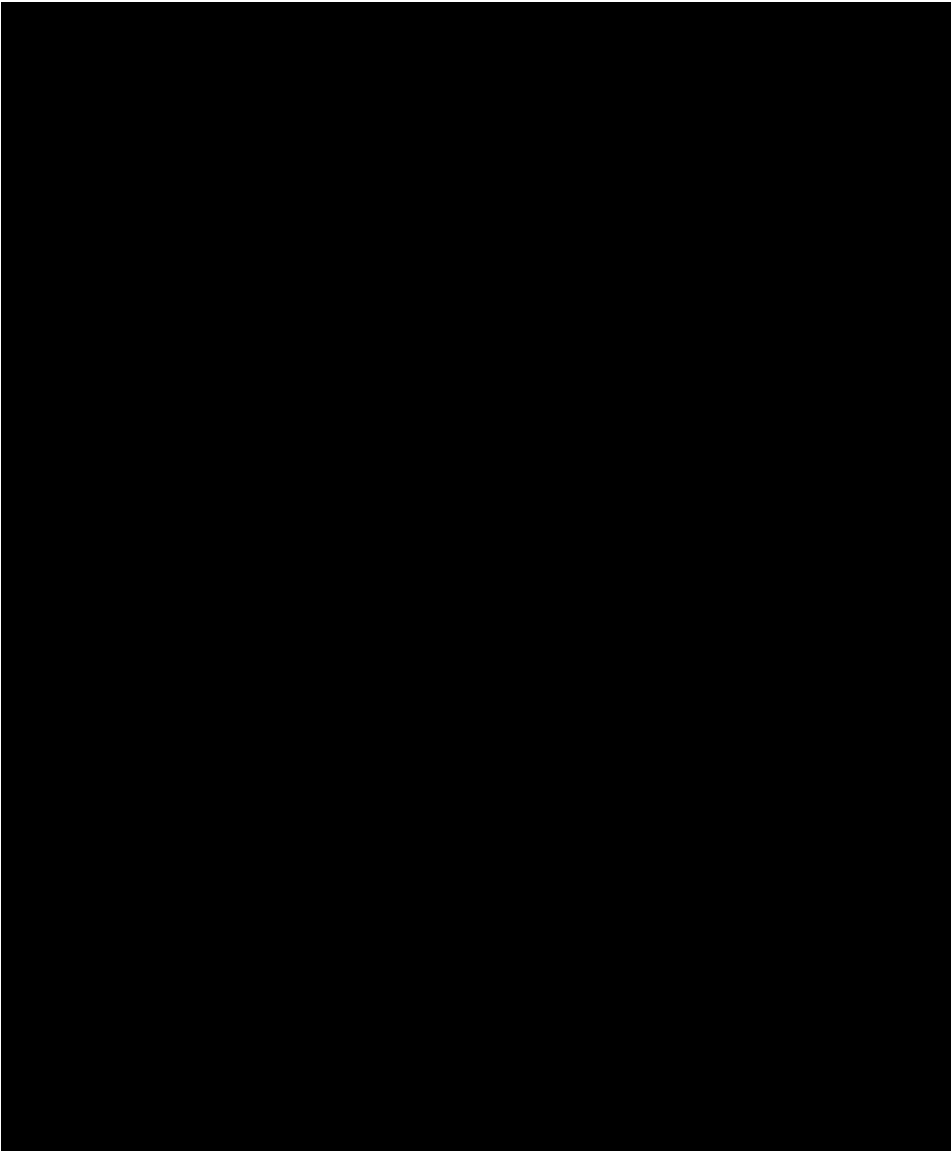


| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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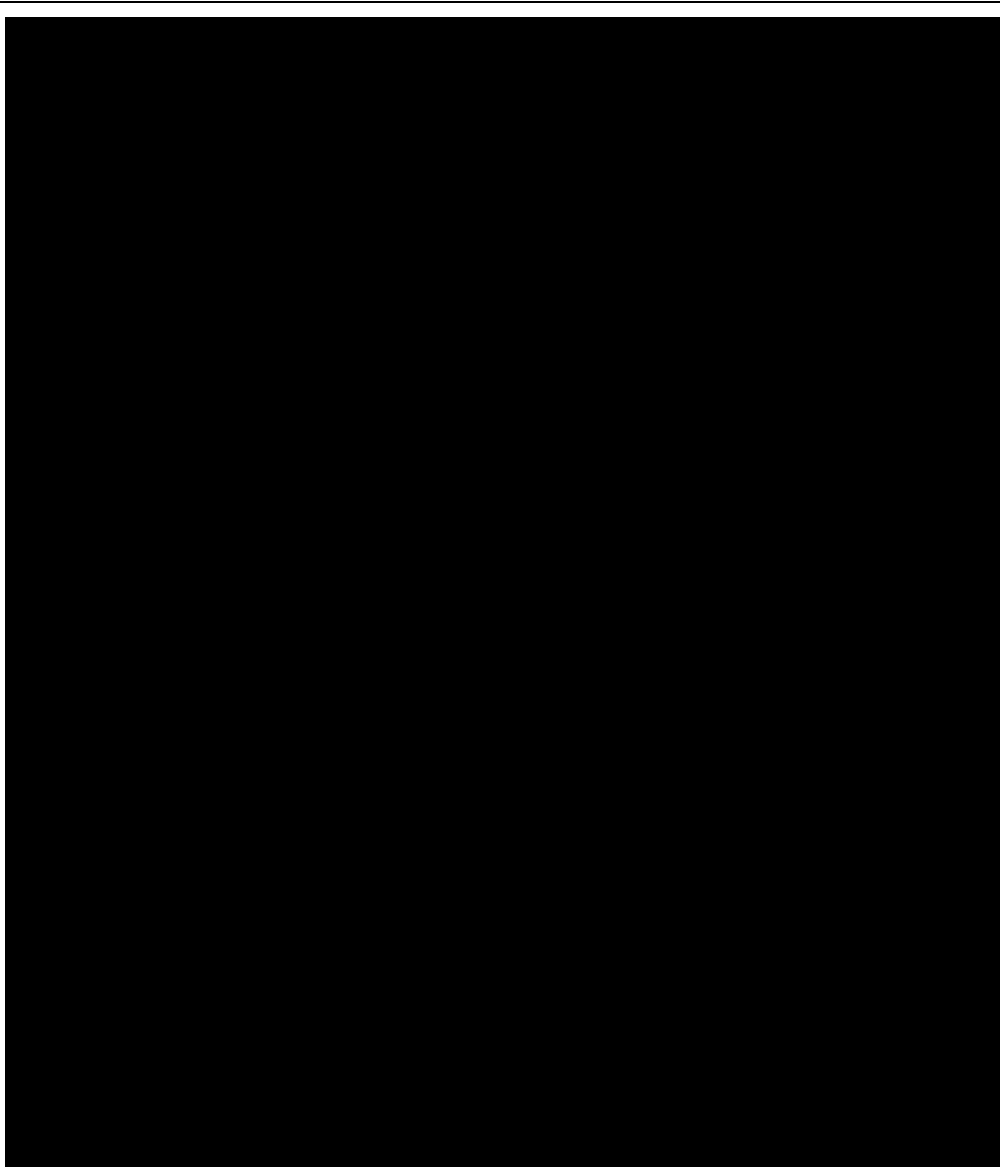
| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| DOC-3 | Describe how the system will have <u>on-line reporting reference materials</u> with a printable version available that includes descriptions, definitions, and layouts 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: To support the generation and use of reports, VisualVault will provide as foundational elements a table relationship diagram, data dictionary, and training materials for how to create reports. Additional documentation will be provided to communicate how delivered reports are configured. The following is a sample of documentation generated to support the report (dashboard) generation from a previous project. The documentation can be enhanced to reflect more complex configurations and calculations that may be identified on DHHS reports.

| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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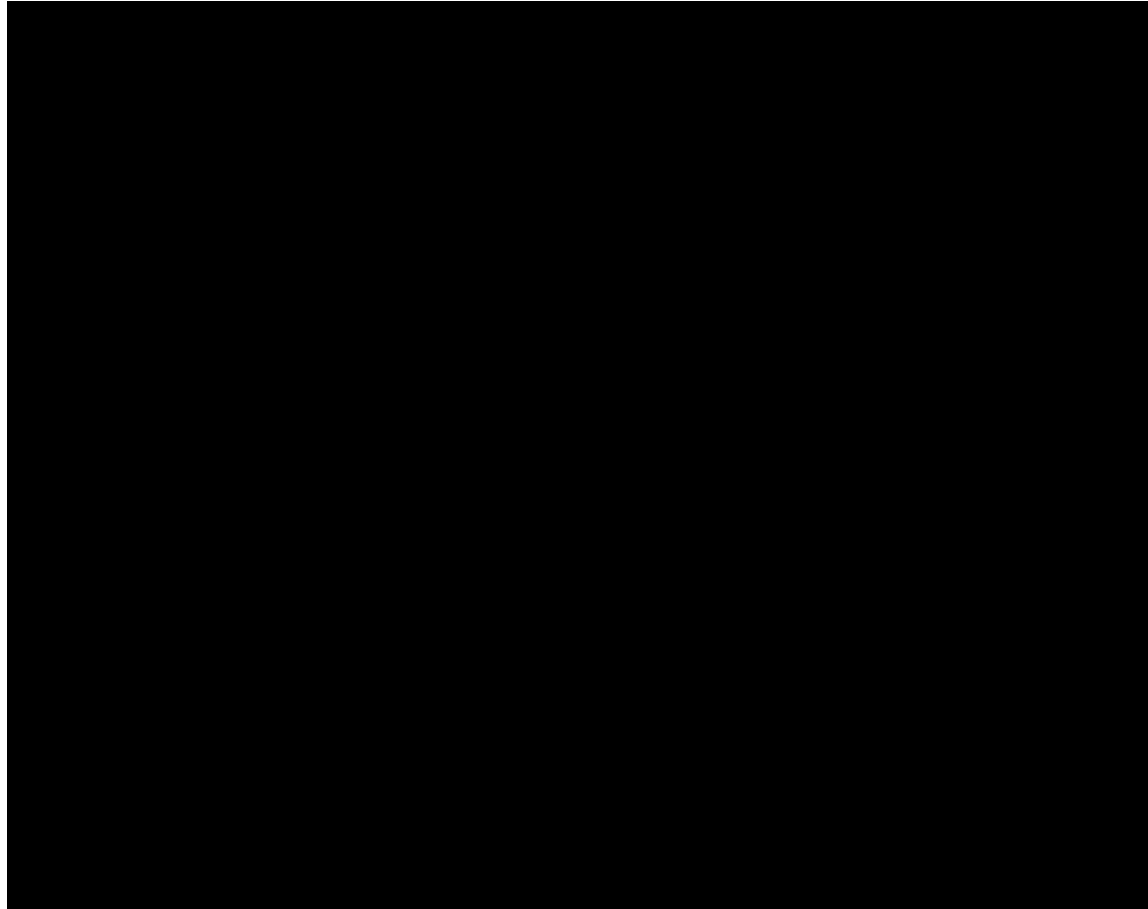
| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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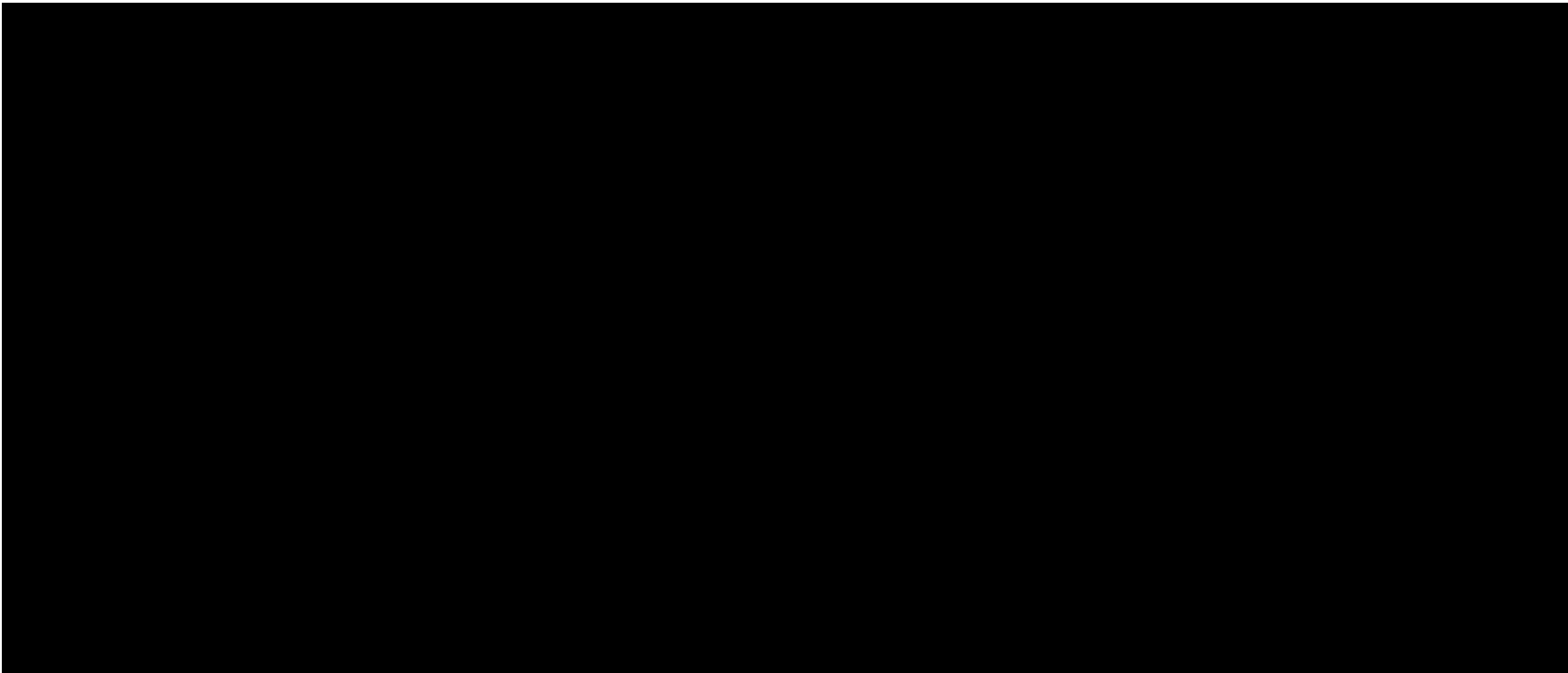
| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
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| | | | | | |
| DOC-4 | Describe how the system provides an entity-relationship model, class diagram, and a table of contents with data dictionary for report creation by the State that is regularly updated and includes table, field, and relationships. | X | X | | |

Response: One of the unique strengths of the VisualVault licensing system is its flexible data model and modern architect that enables the establishment of often complex entity relationships and the ability to modify them over time as required. An Entity Relationship Document will be provided as a Microsoft Visio diagram to communicate relationships between major tables of customer data within the system. We provide the diagram when going into testing and again when going into production. Any major enhancements that require the addition to new processes that would create a new table in the database will drive updates to the relationship diagram. The data dictionary groups information into tables and represents classes of information stored within the system. We provide the data dictionary at the same frequency as the relationship diagrams. Additional frequencies can be negotiated into the contract.

Sample Relationship Diagram



| Req # | Requirement | (1) Comply | (a) Core | (b) Custom | (c) 3rd Party |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-------------|---------------|------------------|
| <p>Sample Data Dictionary</p>  | | | | | |
| 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 | | |
| <p>Response: The VisualVault Team agrees to comply with the DHHS requirements to deliver a data dictionary per this RFP, including modifications as Discovery, User testing, and Acceptance runs its course, which is best practices. Once the DHHS Licensure Information System is finalized, we will deliver a comprehensive Data Dictionary that includes user-defined fields and tables during the testing phase as part of our standard system documentation. The Data Dictionary will be available for viewing online. VisualVault will continually update the information as necessary for each modification.</p> | | | | | |