Response to
RFP 6249 Z1
Licensure Information System

Technical Submission
Redacted

VISUALVAULT
6/15/2020

PREPARED FOR:
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VISUAL VAULT

Form A
Bidder Point of Contact
Request for Proposal Number 6249 Z1

Form A should be completed and submitted with each response to this solicitation. This is intended to provide the State with information on the bidder's name and address, and the specific person(s) who are responsible for preparation of the bidder's response.

Preparation of Response Contact Information	
Bidder Name:	GRM Information Management Services Inc VisualVault
Bidder Address:	215 E Coles Street, Jersey City, NJ 07310
Contact Person & Title:	Steve Leichtman, Director – Public Sector
E-mail Address:	sleichtman@visualvault.com
Telephone Number (Office):	248-212-5353
Telephone Number (Cellular):	248-212-5353
Fax Number:	N/A

Each bidder should also designate a specific contact person who will be responsible for responding to the State if any clarifications of the bidder's response should become necessary. This will also be the person who the State contacts to set up a presentation/demonstration, if required.

Communication with the State Contact Information	
Bidder Name:	GRM Information Management Services Inc VisualVault
Bidder Address:	215 E Coles Street, Jersey City, NJ 07310
Contact Person & Title:	Steve Leichtman, Director – Public Sector
E-mail Address:	sleichtman@visualvault.com
Telephone Number (Office):	248-212-5353
Telephone Number (Cellular):	248-212-5353
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Executive Summary

On behalf of the VisualVault Team, we appreciate the opportunity to participate and submit our response to the State of Nebraska Department of Health and Human Services (DHHS) in support of your mission to improve the safety of Nebraska citizens served. The Licensure Information System (LIS) is a tremendous opportunity to ensure individuals and organizations serving the citizens of Nebraska have been vetted most efficiently. The value of VisualVault's LIS is illustrated by providing a higher degree of visibility to DHHS' data, documentation, and process for licensing ALL stakeholders who need access and use in a user friendly, easy to use system.

Using VisualVault, the DHHS LIS becomes a modern solution specifically architected and built for the cloud leveraging its scalability, security, and access required for the automation of each licensing process. Supporting these data and documentation heavy processes, the DHHS LIS will include our robust Content Services system, incorporating automated workflow, document management, retention, security, Intelligent Forms (iForms), scanning capabilities, multiple levels of reporting (ad-hoc, presentation quality, dashboards, and analytics), and application programming interfaces (APIs) for connectivity.

The VisualVault Team has carefully reviewed the requirements, critical success criteria, and goals within the RFP and are confident that we fully understand the requirements and goals. Based on our understanding, our solution aligns precisely with the requirements and meets and exceeds them. Our team is excited about the opportunity to work with the DHHS team to deliver the LIS, and we guarantee that the project will be successful.

Our response will provide the detail WHY the VisualVault Team is the right partner for the new DHHS LIS for the State of Nebraska. The system alignment with DHHS' requirements is demonstrated based on our proven, 1) value-rich, modern, microservices, software-as-a-service (SaaS), flexible, and scalable licensing system, 2) [redacted], and, 3) a Big Six delivery methodology that has produced **100% successful projects**. Our solution enables state licensing and regulatory programs to re-invent the ability to manage the life cycle of every action and activity and use the data to improve operations for all program participants.

VisualVault's Technology and Culture Align with the DHHS LIS Requirements

Why is this important to DHHS? To gain the true benefits of a **Digital Transformation,** the solution, licensing of the solution, and the technology must align for the state licensing and registration programs to improve service levels. Without both elements, the term 'Digital Transformation' is just a marketing phrase. Our alignment empowers the DHHS LIS to produce positive, visible, and sustainable service time and quality improvements to the communities you serve on a statewide basis.

How do Technology and Culture align? VisualVault is a modern, architected solution designed specifically for the cloud to support change and scalability. Our system's core design uses a microservices architecture into which configurable modules feed data. Our system flexibility allows our team to easily configure your license compliance and regulatory modules to meet the exact needs and workflows. Perhaps more important is the ease for DHHS' System Administrators to reconfigure functionality as requirements evolve. The DHHS System Administrators can reconfigure any aspect of the LIS, without touching the core code.

The primary driver behind bringing a new hosting/licensing model reflects our customer-first culture. The VisualVault Team believes in long term partnerships where clients thrive and successfully meet their objectives. Our culture has proven to be a positive factor in our team's ability to deliver a world-class LIS to the state. Our LIS will ensure all team members, licensees, and stakeholders across the State will complete work easier, faster, and with complete transparency by working directly within the security, compliance, and governance of the solution.

VisualVault also provides this readiness in ways that remove many typical licensing system operational problems. While we have provided answers to your project's business and technical requirements, we would like to provide this additional information about how our product synergizes several technical capabilities to provide a transformative user experience, performance, and efficient installation.

For example, errors in customer data consume a significant amount of agency time and energy as erroneous data flows through a licensing process. Simple examples are submission of incomplete applications, incomplete supporting forms, or missing supporting documentation. These errors trigger a sub-process of notifying the applicant, receiving corrected documents, and matching these up with the original submission. VisualVault, on the other hand, moves error correction upstream to the customer level using our powerful iForms.

iForms enable each data field, to use specific DHHS business rules to validate and dynamically display additional required fields based on a previous answer. Validation is as simple as checking for logical consistency (i.e., requiring a physical address for a provider be within Nebraska, the system will check for a match).

Validation can also be more complex to track continuing education credits in a timeframe (i.e., approved classes) to allow for licensing to move forward or not. VisualVault will not allow submission of an application that is erroneous, incomplete, or which violates your business rules, and our system will inform the applicant of necessary action prior to submitting it to your agency processors.

The results include increased DHHS LIS accuracy and accountability. VisualVault allows both staff and customers to work in an electronic environment as opposed to a paper system - a change that nearly always provides an immediate uptick in efficiency and accuracy. The routing of documents within a digital process is instantaneous. Error reduction comes from reducing the number of times each application, customer submission, or another document is physically touched, assigned, distributed, moved, or modified. Lost documents are eliminated, and an audit trail is maintained of who opened a file, what was done, and when it was closed. Older versions are maintained as required by Nebraska State retention rules.

The VisualVault LIS will increase visibility, allowing instant access to everything in the process and the history of a licensees' relationship with the agency, and allowing an immediate post-mortem by agency management of any complaint or query coming from the Governor's office or a member of the legislature. This also enables the intelligent use of data residing within the LIS to pre-populate renewal applications of licenses or the application for additional licenses, creating a positive user experience for the Licensees and reducing potential data entry errors.

Nebraska DHHS Will Work Directly with the Software Developer

Because of VisualVault's focus on licensing and compliance systems, and the fact that we are the software developer, we have the depth of product knowledge that no system integrator or reseller can possess. The benefit to DHHS is significantly reducing project risk while ensuring success for all Licensing programs. Looking forward, additional Licensing programs can be quickly stood-up, leveraging existing components from our functionality library.

Another reason for our system's long-term success and, another key DHHS objective, is the ability for your team to make configuration updates without the additional cost of having VisualVault involved. We understand the importance of training and knowledge transfer at each phase to enable the DHHS team to make system changes. **VisualVault is designed to be self-supporting once training is complete.**

Proven System for Growth Per Your Strategic Planning

With VisualVault, DHHS gains a partner offering a known, proven system. Leading analysts, Forrester and Gartner, recognize us as a market-leading Content Services Platform that is core to our Licensing and Compliance System. Although many State organizations do not know our name, the fact is that the two-market leading analysts have identified our platform as a solid, cloud-based, SaaS technology for State system use.

To the right is a graphic where the 2019 Forrester New Wave for Content Service Providers highlights the fact that VisualVault/GRM's system is considered a market leader.

People, Culture and Experience, Make the Difference

Our approach to challenges compared to key objectives. Many vendors make their implementation approach appear well-founded on paper. However, when the project Discovery sessions begin, it quickly becomes clear the company is more show than go. VisualVault partnered with ProCom Consulting (ProCom) in 2017. ProCom is our national implementation partner because they bring Big Six/Accenture founded methodology and best practices to each project. Few companies compare with our approach to successful implementations and our licensing platform's ability to be continually expanded and tweaked by state DHHS System Administrators.

Experienced Team with **100% success** track record

The Benefit of the VisualVault/ProCom Team Approach

ProCom's management consists of highly experienced consulting professionals, with an extensive background leading delivery teams for Accenture. ProCom leadership instilled best practices and discipline consistent with the experience, quality, and delivery practices of one of the world's largest system integrators in the team. Additionally, the unique combination of Big Six proven processes with our boutique, flexible team approach empowers our team members to meet DHHS needs.

[redacted]

VisualVault Understands and Aligns with DHHS' Desired Goals:

- Automate Initial License Applications and Renewal Processes
- Improve Public Access to Licensee Information
- Maximize DHHS Staff Productivity
- Improve Computer System for Licensing Information

[redacted]

What This Means to Nebraska DHHS

- ✓ VisualVault shifts data entry, validation, and completeness of license submission upstream to the customer level creating a positive waterfall effect of efficiencies for the DHHS team.
- ✓ [redacted]
- ✓ [redacted].
- ✓ VisualVault's modern microservices architecture empowers DHHS LIS System Administrators to make changes as requirements shift over time.
- ✓ Market analysts (Gartner and Forrester) identified VisualVault as a leading Content Services Provider.
- ✓ The VisualVault Implementation Team has extensive enterprise-level delivery experience in the Public and Private markets and is committed to delivering the DHHS LIS to the State of Nebraska meeting all key success criteria and project goals 100%.

Section 1

Business Requirements [V.C]

1. Bidder must submit Attachment Two - Business Requirements Traceability Matrix.

Per the RFP instructions, VisualVault has completed Attachment 2 – Business Requirements Matrix using the Response section to focus on **How** we meet these requirements. The following matrix provides a summary of the VisualVault Licensing System's alignment with Nebraska DHHS' requirements for the new Licensure Information System (LIS). The details are in the Attachment 2 along with relevant screenshots to show as many scenarios as reasonable within this response.

Business Requirements Matrix - VisualVault Summary Results

Requirement	Comply	Core	Custom	3rd Party
General Requirements	100%	100%		
Initial Licensure and Examination Requirements	100%	100%		
Renewal Licensure Requirements	100%	100%		
Accounting and Fees Requirements	100%	100%		
License Certification/Verification Requirements	100%	100%		
Complaint and Investigation Requirements	100%	100%		
Disciplinary Action Requirements	100%	100%		
Inspections and Mobile Functionality Requirements	100%	100%		
Reporting Requirements	100%	100%		
Data Interface Requirements	100%	100%		
Online Transaction and Public Interface Requirements	100%	100%		
Training Requirements	100%	100%		
Public Health Investigations Module Requirements	100%	100%		

These results confirm VisualVault's alignment with your requirements for the LIS. We designed our Licensing Management System to be a modern, scalable architecture to take advantage of the Amazon Web Services (AWS) cloud resources. The flexibility of our system design also allows the DHHS team to make the inevitable functionality changes.

State and Federal Compliance

2. The system must comply with State and Federal requirements throughout the life of the contract. Changes in State and Federal requirements are included in the contract scope, and the State will not agree to any additional charges for minor changes (i.e., additional license types, adding a license requirement to an existing license type, etc.).

VisualVault agrees to comply with this requirement, and the addition or minor changing of license types to the DHHS LIS will not change the pricing submitted in this RFP response. We also agree that the changes required for State and Federal compliance in the configuration of minor changes for the LIS, will not impact the annual licensing costs submitted.

ARRA, HITECH, & HIT Compliance

3. The Contractor's system must comply with the American Recovery and Reinvestment Act of 2009 (ARRA), including the Health Information Technology for Economic and Clinical Health (HITECH) Act, related Meaningful Use of Health Information Technology (HIT), and other applicable Federal requirements.

VisualVault maintains a robust compliance program to ensure continuous compliance with all applicable Federal and State laws, regulations, rules, policies, and standards. We track all requirements and recommended controls consistently and ensure that we exceed or meet any listed requirements.

VisualVault performs annual compliance audits of standards, including HIPAA/HITECH, SOC 1, SOC 2, and CJIS. We have included our latest HIPAA attestation in **Section 4 Attachments.** We also include our SOC1 and SOC 2 attestations in this section.

Section 2

Technical Requirements [V.D]

1. Bidder must submit Attachment Three - Technical Requirements Traceability Matrix.

Per the RFP instructions, VisualVault has completed Attachment 3 – Technical Requirements Traceability Matrix using the Response section to focus on **How** we meet these requirements. The following matrix provides a summary of the alignment of the VisualVault Licensing System to Nebraska DHHS's requirements. The details of how we meet these requirements are in Attachment 3, along with relevant screenshots to show as many scenarios as reasonable within this response.

Technical Requirements Matrix - VisualVault Summary Results

Requirement	Comply	Core	Custom	3rd Party
General Technical Requirements	100%	100%		
Standards Requirements	100%	100%		
Error Handling Requirements	100%	100%		
Database/Data Management Requirements	100%	100%		
Backup and System Recovery Requirements	100%	100%		
Security and Audit Requirements	100%	100%		
Data Conversion Requirements	100%	100%		
Production, Test, and Training Requirements	100%	100%		
Interfaces/Imports/Exports Requirements	100%	100%		
System Performance Requirements	100%	100%		
System and User Documentation Requirements	100%	100%		

The ability for Nebraska DHHS to meet the key goals for the new LIS means the system should leverage modern architecture, specifically designed to control the technical resources and security of the cloud. VisualVault's modern architecture enhances system performance, today, and as the system grows in acceptance and uses throughout the State. A LIS database requires a flexible model designed for change and enables the system to change language preferences at the user level to increase usability. Our alignment is 100% for the technical requirements because these and other reasons that have been elaborated on in Attachment 3.

Use and Concurrent Users

2. The system must allow for a minimum of 1,000 users, including DHHS, IS&T, and financial services staff across the State, to access the system. Currently, there are approximately 300 DHHS staff users and 260 Board Members, and the system will also need to accommodate additional online users. An approximate minimum of one-third of the total number of concurrent users should be able to be in the system at any given time without negatively impacting performance.

VisualVault agrees to the license requirements stated in the requirement. We provide a license for all stakeholders involved with or in support of the DHHS LIS program, as outlined in our RFP response. [redacted] Real-time, secure feedback enables dramatically improved communications, visibility, and audit of all actions within the system by all actors.

The digital transformation of a program must be inclusive of all participants to truly be successful and meet the critical success factors and goals that DHHS has outlined in this RFP. [redacted] The input of validated and complete data and documentation is an immense value to the DHHS LIS. It needs to occur within the security, auditable, and immediate process commencement within the system.

Why is this important to Nebraska DHHS?

1. Security of Sensitive and Private Information - Transmitting all data within the secure infrastructure of the LIS means no external emails with attachments, no unsecured website connections from a limited license, FTP transmissions, or other methods occurring in independent systems.

2. Governance and Oversight of The Process - All actions taking place in the LIS are tracked and reportable, including date, time, who, and file sizes loaded. VisualVault automatically tracks all pertinent data, allowing DHHS to gain valuable visibility as to how all users, including Licensees, are contributing to the system and accurately identify deficiencies in their processes.

3. Validating Data Before Submission - Working within the LIS will enable DHHS to have structured data and documentation that all users must follow for successful submission. If there are errors, the users, such as a Licensee, will immediately receive a notification of the error and where the error occurred, and the submission will be denied. The result is more accurate data enters the system without DHHS team member's intervention, and the system receives valid data.

What This Means to Nebraska DHHS

- ✓ VisualVault does not impose system limits based on the number of users.
- ✓ [redacted]
- ✓ [redacted]

Hardware and Software

3. HARDWARE AND SOFTWARE - DHHS requires a system where all hardware and software are hosted and maintained through the Contractor. The Contractor will, during the entire contract, maintain any and all third-party software products necessary at their most current version, or no more than two (2) versions back from the most current version, at no additional cost to the State. All security patches for the software must be applied and kept up to date.

[redacted]. VisualVault agrees that the system will conform to this requirement.

Record Retention

4. RECORD RETENTION - The system must be consistent with DHHS's current records retention requirements. For the current requirements, see http://www.sos.ne.gov/records-management/150_schedule.html.

VisualVault is consistent with DHHS' current record retention requirements. Our system is capable of adding business logic to the submission and maintenance of any records and documents stored within the system, allowing the creation of complex records retention rules, including rules with triggers.

Section 3

Scope of Work – System Overview [V.E.1]

1. SYSTEM OVERVIEW - The system must meet DHHS's requirements as specified in this RFP including, but not limited to, the following:

The Executive Summary at the beginning of this submission speaks to both why and how VisualVault meets and often exceeds the DHHS requirements for the Licensure Information System (LIS). Our clients have found these to be unique values that create efficiencies for staff and the citizens they serve. The following responses detail the specifics to these requirements.

Integration [V.E.1.a]

a. INTEGRATION - The system must be able to convert/import data from current systems, import data from internal and external customers via application programming interface (API) or other industry standards, and schedule automated daily data exchanges with external partner databases, such as compacts, schools, and examination companies. DHHS anticipates developing one (1) API over the next twelve to twenty-four (12-24) months for internal use for iQIES. The API will be managed by user maintenance policies within LU.

There are several topics to cover in response to this question, and each is critical to the ultimate success of this project and the ongoing life of the DHHS LIS moving forward. VisualVault meets all these objectives and has the track record of supporting both the robust architecture required for the data and the experienced Implementation Team to deliver the services necessary to capture all the required data from legacy and external and internal systems. The following architectural diagram (section outlined in red) is a high-level overview of data conversion, import, and integration with other systems within the architectural design required for the LIS.

[redacted]

Direct Upload of Data and Content

It is important to remember that Community Licensing eliminates the legacy concept of external users. Using VisualVault, options are now open for DHHS to make decisions as to the most secure, efficient, and cost-effective process for data from schools and other third parties to enter the system. We can use traditional application programming interface (API) integration, which our system fully supports, or for smaller schools, it may be more cost-effective for them to log in to the LIS and upload data on demand.

By allowing these smaller schools and other third-party providers a secure license, VisualVault can create an automated wizard-like process for them to upload data related to the Licensees. The uploaded data will be automatically validated and classified, and the correct licensee record will be immediately updated. During Discovery, our teams will determine which schools and third parties would be perfect candidates for an on-demand upload of data.

The VisualVault LIS supports manual imports and exports of data. Our plan includes using your 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 on our robust Content Services Suite, which includes a batch data import and export tool to easily import and export data as needed from a variety of file formats, including all Microsoft Office Products as well as PDF, MHT, HTML, Text, and CSV file formats.

Internal users throughout the State of Nebraska who need to capture content and related data will have the ability to upload this automatically into the LIS using a variety of methods that support DHHS business rules. Users can attach an image to an iForm (as shown in the following screenshot) or scan a supporting document that needs to enter the LIS.

For the scanning of paper-based documents received by DHHS, VisualVault also has utilities that can capture electronic files from multi-function devices, FTP sites, email, and file server locations. We have other utilities that can facilitate the import of data from CSV files to create electronic form records.

Integration

[redacted]

[redacted]

[redacted]

[redacted]

Flexibility [V.E.1.b]

b. FLEXIBILITY - The system must be flexible enough to handle all license types listed in Attachment One, Type and Number of Licensees, and should be flexible enough to perform the business processes outlined in Attachment Two, Business Requirements Traceability Matrix, such as applications, renewals, continuing education, and accounting. The system should track all changes, customer contacts, and transactions.

We will take this opportunity to highlight the details of how the LIS, using VisualVault, meets all of Nebraska DHHS' must-have requirements and critical success factors as specified in this RFP. We understand and fully support the diverse requirements for the LIS. The LIS must be flexible enough to support licenses ranging from Cosmetology to Dentistry and manage the individual as well as entity licensing with the complexity of ownership and the varying relationship of monitoring of staff within the scope of specific DHHS business rules.

VisualVault enables the DHHS LIS to meet each requirement without compromise. Our system was designed and developed from the ground up to be a modern software-as-a-service (SaaS) solution that incorporated the flexibility and robustness to support growth and change as requirements from legislatures or Federal statutes shift over time.

The basis of our solution is a microservices architecture that provides scalability, connectivity, and elasticity for our clients today as well as new opportunities to continue for our team to add advancing technology to the system and enhance capabilities and performance. Our microservices architecture ensures DHHS will have the flexibility to support the diverse array of individual and entity licenses today and into the future.

Our design approach allows for your process to be nimbler to meet changing requirements. This degree of flexibility enables DHHS to meet the key success criteria of flexibility to enable the 39+ System Administrators responsible for each license group to make changes to meet their specific needs when they need it done.

There is a best practice for making system changes, and VisualVault supports this process by providing the DHHS LIS with environments for configuration and testing before promoting any re-configuration to production. Our Support Team is always there to coach the System Administrators for refreshers as these changes arise. Also, we provide readily available documentation based on the specific group of licenses they are responsible for within the LIS.

New versions and enhancements have continually incorporated more advanced capabilities, such as:

- ✓ Responsive design for mobile-ready use
- ✓ Artificial intelligence
- ✓ Enhancements to the database to manage large scale amounts of data and content
- ✓ Advanced user experience (configurable user interfaces by role)
- ✓ Ability to load balance - leveraging the Amazon Web Services (AWS) infrastructure to ensure performance during peak demand

The VisualVault system is built on a highly scalable infrastructure operating within AWS, enabling our services and infrastructure to expand to be capable of handling rapid program growth. We will deliver to DHHS a dynamic consolidated LIS that provides an umbrella for oversight of all license types while requiring no additional modules or compromise of Nebraska's goals.

- ✓ Provide a modern online, intuitive self-service, web licensing platform for licensing, renewal, reinstatement, investigation, complaint, discipline, inspection, board meeting, and financial solution (ePayments and eSignature) for multiple Boards in a holistic platform
- ✓ Address diverse requirements of all License types and manage change as needs evolve via configuration by the DHHS System Administrator to ensure the functionality remains aligned with changing requirements
- ✓ Provide access and transparency to all Nebraska DHHS, all stakeholders, licensees, and the public to securely access the information they need to make good decisions and increase awareness from the LIS via Community Licensing

- ✓ Maximize DHHS office and field staff productivity through access because all functionality is available via mobile devices, based on secure user roles. Screens are configurable for a streamlined presentation of the information relevant to each role upon log in. Ease of use is fundamental to adoption and productivity.
- ✓ Support scalability and the flexibility for the System Administrators to add new professions, make statutory changes, and report on all actions and data stored within the system as required. Our advanced architecture leverages intelligent design to continually monitor and grab resources in the cloud to meet or exceed all performance standards consistently.

What This Means to Nebraska DHHS

VisualVault's advanced architecture is core to the flexibility for DHHS to meet the stated goals of the LIS. It is our culture of enabling improved outcomes for citizens through Community Licensing that facilitates the meeting of DHHS' critical success factors like no other.

- ✓ [redacted]. VisualVault's iForms will validate the data and documentation before submission automatically with instant feedback to the licensee, thus ensuring that the license information is valid and complete upon submission and the DHHS team commencing work. Renewals will automatically prepopulate data on the iForm for accuracy and ease of use by the licensee.
- ✓ The downstream result of the DHHS LIS receiving validated and complete submissions when combined with automated workflow is that the actual time for approvals or denials will be as efficient as possible and completely measurable. The amount of time saved by seeking valid or complete data will become the exception. Our experience with other clients is that this is a major time consumption by the State teams, and using VisualVault enables teams to spend time on higher-value tasks that improve licensee outcomes.
- ✓ [redacted]. For the licensees, they have their dashboard to track all current, future, and historical changes in an easy to follow work queue that updates as tasks are assigned or accomplished.
- ✓ [redacted]

Robust Reporting [V.E.1.c]

c. ROBUST REPORTING - Create flexible and robust reporting capabilities to enable informed decision-making, problem-solving, and process improvement initiatives. The system must enable users to create ad hoc reports with all data elements, including comparing data elements to each other. Report-writing functionality should be user friendly.

Perhaps one of the most critical benefits of the VisualVault system is the level of insight and transparency DHHS, and other Nebraska teams gain. Management and other users 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 the LIS project.

Through the integration of the DHHS business rules for data and related content required for reporting, the VisualVault system aggregates the data and understands when contributors have not sent in the required data. Our LIS includes our automated workflow functions that will send notifications and alerts to those Licensees, or internal staff of missing items along with reminders at pre-determined times. Another advantage is that all users have a customized dashboard to view the status of tasks and other key performance indicators (KPIs) that are relevant to perform their job and to keep tasks on schedule.

The VisualVault Implementation Team will train DHHS System Administrators to create customized reports as required. The reports vary from simplistic line data to more complex presentation-quality reporting. DHHS will have access to all data, based on security rights, within the repository and integrated third-party applications to create as many reports as required.

Our flexible data model means that your System Administrators may add fields as reporting requirements evolve, without additional programming. Reports may be modified to include new or changed fields as often as required. This flexible yet robust reporting is a core feature of our proposed LIS solution and includes four levels of primary reporting capabilities:

1. Real-time dashboard reports
2. Standard/Scheduled reports
3. Ad-hoc reports
4. System reports

1. **Standard/Scheduled Reports -** These are reports required to generate at specific times to present a point-in-time or static view. Standard reports are best for comparing data from one period to the next. Data can display detailed lists, summary reports, or graphical reports to output and analyze information relating to business processes. There are no limitations to the number of reports or dashboards you may create and use throughout the life of the system. During Discovery, our teams will review the list of reports and define the specifics. DHHS will sign-off on the reports, and we will create them for the initial roll-out. We will train System Administrators and selected users to use the configuration tool to change existing reports and to create new reports.
2. **Ad-Hoc Reports -** The VisualVault Report Wizard enables any user to follow steps to create reports on-demand easily. Our Report Wizard is easy to use and enables users to customize their view of important data.

3. **System Reports -** The VisualVault system records every system touch, activity, and action. This data is collected and stored and is also available to use for many different requirements. Performance audits, productivity reports, etc. are easily generated.
4. **Dashboards -** Our team and your System Administrators will configure user-specific dashboards to contextually present a complete view of all key program metrics on one easy-to-read screen. Data is presented via live graphics and lists that, when selected, instantly drill down to specific details.

User contextual parameters passed into the reporting tool can control what the different users and user groups see. VisualVault has several means of dashboards, reports, and analytics. You will have access to all of them as we include them in our LIS. There are no limitations to the number of reports or dashboards you may create and use. We will create all initial reports as part of the implementation.

Since all users will have 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 portals. We will configure your solution to align with your requirements, improve efficiency and visibility into all processes, and ensure adherence to the program's legal requirements. The following is an example of a licensee dashboard.

Example Licensee Dashboard

Our reporting and monitoring of system use will align with the requirements of your program. Core to VisualVault's reporting is intelligent workflow and dashboards with reports. Our team anticipates that the unit manager dashboard will include an immediate, comprehensive graphical overview of all KPIs, including the status of each task and what step in the process the task is currently located.

Dashboard views allow managers to instantly determine if a task is in danger of missing deadlines. Hovering the mouse over a listed item and clicking on the item will open the data view enabling individuals to drill into specific details. Intelligent workflow feeds data into the dashboard to present when and where the next task will be to provide self-service status updates. The following is an example of the graphical capabilities along with drill-down reporting of underlying data.

Example of VisualVault Graphical Capabilities

VisualVault dashboards provide real-time transparency into all KPI activities. Additionally, dashboard KPI data will automatically output to reports based on your business rules to present the data on a scheduled basis to managers. Reports and dashboards will bring a new level of process and product transparency to management and supervisors.

We will train the DHHS team to create all report types. The reports vary from simplistic line data to more complex presentation-quality reporting. VisualVault's system enables DHHS users to have access to data based on security rights, within the repository and integrated third-party applications. The flexibility of our report tools allows fields to be added as report requirements evolve without programming.

The four levels of reporting will provide the DHHS LIS user community with the flexibility to improve program efficiency and visibility while ensuring the organization complies with all legal requirements. The following is a quick screenshot of our Report Builder's easy to use, drag-and-drop functionality.

Example Report Designer and Final Report

Electronic Documentation [V.E.1.d]

d. MOVE TO ELECTRONIC DOCUMENTATION - The system must facilitate the transition from a paper-based environment to an electronic-based documentation system. Staff must be able to scan and attach documentation to licensee records, such as applications and related documents, renewal responses, investigation and inspection reports, and correspondence/emails/communications. The system should incorporate records retention, with various retention periods for different types of documents. Any associated license and maintenance costs must be included in the Cost Proposal.

The new DHHS LIS, using VisualVault, provides a solid opportunity for a successful transition (Digital Transformation) from paper to an electronic documentation system that aligns with many of Nebraska's stated success criteria and goals. Through Community Licensing, the Licensees will have secure access to upload documentation directly into the system that will automatically be associated with their records, reducing the paper incoming to the DHHS staff.

VisualVault has several means to make this an intuitive and easy process for the Licensees and has successfully deployed this with many of our clients today. Licensees can capture documentation on a mobile device and submit with their application.

Based on our experience, DHHS system requirements are well aligned with our core Content Services Suite. VisualVault is content-agnostic and accepts all data and content types. As a No-Wrong-Door solution, we tie together all documentation sources into a single stream of indexed and useful electronic data securely filed and maintained in our central repository. This No-Wrong-Door system promotes the advantages of working in a digital environment, while enabling individuals and companies to submit forms and supporting documentation by fax, mail, walk-in, etc. Therefore, most of the transaction volume will be completely digital, including the automated uploading of support documentation.

VisualVault's Content Services Suite provides extensive content management functionality, internal scanning capability, and direct support of twain compliant scanning software. Our Community Licensing model grants the use of our Content Services Suite, including scanning, and internal document management functionality with no additional cost. All the Global Services area of the following cube are included in the DHHS LIS program.

VisualVault's document and records management functionality will support the requirements set forth for the DHHS LIS to manage all content and data as well as automating the input with intelligence designed to associate content with the correct license file automatically.

A licensee's file will have multiple documents and data that provide proof of their credentials. These documents can be uploaded by the Licensee by simply dragging and dropping them into the Licensee's file. Additional attachments may be uploaded in the same manner. Our suite also provides automation, eliminating, or minimizing data entry required to index the uploaded documents and forms to provide the required context. Every form and document that is uploaded in this manner is automatically linked to the Licensee's file.

In addition to the data and documentation coming into the system using iForms, VisualVault manages incoming forms that are image files such as Tiff or PDF images. Our platform comes with full-text OCR capabilities to parse the data from these images as required. Paper files that are scanned using multi-function devices across DHHS offices may be automatically sent to a network folder, and the VisualVault Folder Watch will automatically capture the documents, classify, index, and insert them into the correct license folder.

A few highlights of our Capture and Export Tools:

- ✓ Scan directly to folders from local or remote locations
- ✓ Direct integration with twain compliant scanners
- ✓ Direct integration with Kofax scanning
- ✓ Fax directly to folders and trigger automated processes
- ✓ Email directly to folders and trigger automated processes
- ✓ Folder watching to capture documents (FTP sites, etc.)
- ✓ All capture methods support OCR and PDF conversion
- ✓ Document import/export utility preserves the folder structure

Document Retention

Based on how DHHS would like the LIS to be administered, the rights to set retention schedules will be assigned to the designated DHHS System Administrators. VisualVault supports DHHS setting the data and document retention policies in the administration module of the LIS so that all the rules are applied as content and data enters the system. We will train and support the DHHS team to make changes to the retention rules or add new ones as legislation occurs. As you see in the following screenshot, with permissions, retention schedules by document types are easily set.

Example of Assigning a Retention Schedule

Destruction (deletion) of data or documents (content) from a Content Services Suite requires security level permissions and is often a process that best practices dictate establishing an approval process workflow. Consistent with this requirement, VisualVault will have a report or dashboard automatically present which documents are eligible for destruction based on applicable DHHS and Nebraska retention schedules and business rules. Once approvals are received, the items eligible for disposal may be disposed of in an automated or manual process, the choice will be made by DHHS. Retention schedules will be based on Nebraska requirements identified in the Discovery phase.

Improved Workflow [V.E.1.e]

e. IMPROVED WORKFLOW - Improve workflow via customized menus is necessary, including automatically generated task lists and user alerts. Work should flow from queue to queue based on business processes.

Workflows automatically route inbound data and documentation based on DHHS business rules to automate the progression of tasks, sending of notifications and communication to the right stakeholders at the right time. In the new DHHS LIS, workflows will be designed to provide complete transparency and visibility into the licensing process for all stakeholders based on user security roles.

Our goals align with DHHS and are focused on improving communication and reducing staff workloads as workflow automation moves information through the various processes while providing full visibility into the status of the work. Workflows are a core strength of the VisualVault platform and will be configured to each license type's business requirements.

VisualVault workflows automate an accurate routing of content to the correct stakeholders for review, processing, and approval. Workflow distribution can be to one person or group based on defined business rules. Creating workflows begins with an uncomplicated process of setting up a workflow template of tasks and or steps.

Workflow and business rules create notifications, status updates, and review escalations (as examples). Business rules and workflows can be easily configured 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 delivers a modern, enterprise, collaborative platform leveraging functional components (i.e., iForms, business rules, and intelligent workflows) to automate manual tasks. The days of replacing end-of-life and manual regulatory systems with traditional cost-prohibitive licensing and regulatory installations are over.

VisualVault understands that the core process for licensing and regulatory processes are similar across a multitude of types of entities and agency types. A core business process and workflow automation system that can be configured to meet the specific needs of any licensing agency can be quickly deployed in nearly any agency, and at a lower price point than a traditional software provider.

VisualVault workflows give the ability to assign, store, and capture tasks, and assignments, and organize this information so the Licensees, DHHS staff, and all authorized users can easily organize, prioritize, and monitor workload progress. Our workflows automate an accurate routing of data and supporting content to the correct stakeholders for review, processing, notification of required actions, and approval. Workflow distribution assignments can be to one person or a group based on business rules. Additional functionality, such as notifications, status updates, and review escalations (as examples), can be easily configured.

In Vermont, for the State Department of Public Safety, we recently implemented a Marijuana Registry, Licensing, Auditing, and Document Management System. This system allows the network of stakeholders for a given case to share information without burying agency staff in paper. The system enables self-service completion of iForms to apply for licenses.

Our system has automated workflows and work queues to support the routing of information for review and approval. It enables secure, real-time access to information by the approved external stakeholders. We will work with you to create the best combination of dashboards, work queues, and reports to optimize your business processes and reduce your need for paper reports.

The following screenshots show examples of the different views that we can configure for your work queues.

Example 1 - Dashboard View – Work Queue

Example 2 – Dashboard View – Work Queue

Project Phases [V.E.2]

The State requires that the Contractor has established project management processes and has integrated them into projects of similar scope and size. Proven methodologies and standards, used to control all project activities, are crucial to the success of this project. The State prefers that the Contractor use an approach that has been successful in the past.

Our documented Project Management Methodologies have proven effective via hundreds of successful implementations. [redacted] Our team brings years of personal experience with large system implementation projects and a commitment to your success.

We will customize our project management approach to meet the needs of your project. [redacted] Our teams are accustomed to working together.

[redacted]. We have never had a failed project. Our team of specialists is adept at moving quickly through the phases of the system development life cycle and delivering a quality outcome to our clients. [redacted]. Our structured approach allows us to understand your requirements, document, and receive approval on the design, configure and test the solution, train your personnel, and deliver a quality result.

The VisualVault Team will track and report status weekly. Tracking work activities at a task level provides a meaningful, metrics-based view of where the project stands. We will staff the DHHS LIS project with the right skills at the right time. We openly communicate our plans and give your staff a heads-up before creating a deliverable to align expectations for each phase and deliverable.

[redacted]

[redacted].

Project Planning and Analysis Phase [V.E.2.a]

a. PROJECT PLANNING AND ANALYSIS PHASE - This phase encompasses Project Planning, Requirements Analysis, and any additional analysis needed prior to the system design activities.

The VisualVault Team ensures the successful planning and delivery of the project. [redacted]

This approach opens the door for transparent communication and prevents issues from becoming obstacles to project success.

[redacted]

[redacted]

Draft Project Management Plan [V.E.2.a.i]

i. Draft Project Management Plan (Due with Proposal) - The Draft Project Management Plan should include estimates of items listed in Section iii. Detailed Project Work Plan (Phase 1.1) below.

The Project Management Plan is included as Attachment 1 in Section 4. [redacted]

Testing Methodology [V.E.2.a.ii]

ii. Testing Methodology (Due with Proposal) - The Testing Methodology should include methods for developing and maintaining test scenarios, test sets, test cases, and test steps to document test procedures and test results.

[redacted]

[redacted]

Detailed Project Work Plan (Phase 1.1) [V.E.2.a.iii]

iii. Detailed Project Work Plan (Phase 1.1) - (Due 15 days after contract start date) The Contractor will develop and submit to DHHS a Project Work Plan that includes a schedule and Gantt chart (for all project tasks, subtasks, and activities), milestones, and deliverables. Resources from the Contractor and DHHS must be included for all tasks, subtasks, and activities that exist as line items within the Project Work Plan. The Detailed Project Work Plan must be reviewed and approved by DHHS. The Contractor's Project Work Plan will also maintain the following date-sensitive information:

a) Originally scheduled Start and End dates for all tasks, subtasks, and activities (including milestones and deliverables);
b) Anticipated Start dates for tasks, subtasks, and activities, if schedule fluctuation has occurred;
c) Anticipated End dates for tasks, subtasks, and activities, if schedule fluctuation has occurred;
d) Actual Start dates for all current and completed tasks, subtasks, and activities; and
e) Actual End dates for all completed tasks, subtasks, and activities.

The Contractor will collaborate with the DHHS Project Leader to maintain an integrated Detailed Project Work Plan for all project-related activities on an ongoing basis and identify issues that affect deadlines. The Contractor shall update the Detailed Project Work Plan as needed and submit an updated Detailed Project Work Plan to DHHS on at least a monthly basis to reflect the evolving schedule, priorities, risks, and resources.

VisualVault agrees to meet this requirement within the timeframe stated.

When the Implementation Team submits the Detailed Project Work Plan, it will show the approach, work breakdown structure, schedule, and resources for the entire project. [redacted]

We welcome the opportunity for open discussion to refine the plan to meet your needs exactly.

The Comprehensive Project Plan (CPP) is a living document that will reflect approved changes to the project scope, schedule, or resources. The Project Manager will meet regularly with DHHS to discuss the status of the project and review the actual progress against the plan.

Project Control Documents (Phase 1.2) [V.E.2.a.iv]

Project Control Documents (Phase 1.2) - (Due 15 days after contract start date) The Contractor will develop and submit to DHHS a Project Work Plan that includes a schedule and Gantt chart (for all project tasks, The Contractor shall submit plans for the project, including:

VisualVault will provide the Risk Management and Resolution Plan, Issue Management and Resolution Plan, Organizational Change Management Plan, Work Management Plan, and the Change Control Documents 15 days after the contract start date. Our experienced team understands the content, intent of the requirement, and the importance of the deadline.

Risk & Issue Management

Project risk management focuses on identifying and prioritizing risks based on impact and probability. A risk is not necessarily a problem – it is a recognition that a problem or opportunity may impact the project. An issue is an immediate problem that requires prompt resolution. Acknowledging and addressing issues serves to minimize their adverse impact on the project. Issue management is performed continually over the life of the project. Issue management activities are subject to the governance and escalation processes described in the Project Management Plan.

Risk and Issue Identification - Identification may occur at any stage of a project and continues throughout the life cycle of the project. Management must ensure project team members openly and regularly watch for, discuss, and analyze risks and issues. New risks and issues may develop as the project mature, as both internal (project team resources) and external (customer) factors influence the project. Both VisualVault and DHHS representatives may identify and enter risks and issues. Identification includes the examination of all project elements in detail to identify, describe, and document impacting elements on the project.

Team members have valuable knowledge about operational data, threats to quality, and business requirements. Therefore, they must contribute to the monitoring and control of both risks and issues. [redacted]

Risk and Issue Management and Resolution - Management is performed continually over the life of the project. Risks and issues will be documented in the Project Log Workbook and reviewed in the weekly Risk/Issue meeting with both the DHHS and the VisualVault Project Manager and continue as necessary throughout the project. Management activities are subject to the governance and escalation processes described in the Project Management Plan. Any issues that cannot be resolved by the Project Managers will follow the documented project escalation path.

Once a risk or issue has been documented, the Project Team will review the risk/issue, evaluate priority based on level and area of project impact, and assign responsibility for a resolution to an Owner. Owners will determine the approach for the resolution and an expected deadline for completion. The Project Team will continually monitor and manage the issues throughout the project life cycle.

Organizational Change Management

[redacted]

Knowledge transfer to DHHS staff will be important as state staff will want to understand the technical details behind the platform and to be able to do some activities, such as ad-hoc report generation and some iForm updates, on their own.

[redacted]

The VisualVault Team understands the world of State agencies, their providers, their stakeholders, and their consumers. We know that one size does not fit all, and change is the only constant in state government. Governors change, agency leadership changes, priorities change, and technologies change.

Work Management Plan

VisualVault will update the CPP as key changes happen. Changes in the actual schedule or sequence of events will be reflected in the CPP. Dependencies on third parties may drive schedule or scope updates, which will be reflected in the plan. The CPP will remain in sync with the reality of the project – so all events affecting the project will be reflected in the current version of the plan. Historical views of the plan will be saved to allow the reasons for each change to be completely documented.

Change Control Documents

Changes should be expected during the project. These changes can result from the realization of risks, externally-imposed requirements, estimation errors, leadership decisions, or the adoption of new approaches to gain efficiency. Regardless of the source, changes must be managed to minimize adverse impacts to the project. Any change impacting scope, high-level schedule, or cost initiates the change management process.

Change control activities are subject to the governance and escalation processes described in the Project Management Plan. Daily or other changes to the project schedule considered not at schedule baseline-level may be addressed more informally where mutually-approved in writing.

The purpose of the change control process is to describe the process involved with identifying, escalating, and managing project changes. A project change is defined as something that is outside the documented and approved project scope or is a change to project requirements, project schedule, or project cost (including resource effort). A project change requires approval for additional resources, funding, or modifications to the project schedule. The change management process defines how to handle project changes that present either a negative or positive impact on deliverables, schedule, budget, and resources.

Changes to cost will be documented and tracked accordingly. Any change that occurs to the baselines will be vetted with the DHHS Project Manager and documented through the change request process. Each Change Control Request will include a clear description of its contents, the impact to the project schedule (if approved), the requirement for successful testing, the level of priority for this request, and supporting documentation. Supporting documentation could include estimating impacts, alternative solutions, work-around ideas, and meeting minutes of who participated in the discussions concerning this request.

[redacted]

The Change Control Log will include the documentation to monitor the status of each change control request and approved change order, the process for reporting status of all change orders, the ability for DHHS to set and change priorities on individual change requests, a method for DHHS to determine the estimated and actual hours associated to the request, and a method to schedule the completion date for the change request.

Status Reporting Plan [V.E.2.a.v]

v. Status Reporting Plan (Phase 1.3) - (Due 15 days after contract start date) Status report plan is the protocol for submittal of Status Reports, including the format and media for submittal and the procedure(s) for submittal. Key information for these reports includes a summary of recent accomplishments; identification of, resolution plans, and documentation for critical issues and risks (from issue and risk management tools); activities planned for the next reporting period; and a summary of the project's progress according to the schedule, budget, and task list. Schedule monitoring will include identification of any project schedule variance that has occurred.

a) The Contractor shall submit a formal month-end Status Report in a format approved by DHHS.
b) Project and Status Meetings Protocol - This is the protocol for project Status Meetings. Status Meetings will be scheduled every week. The Contractor's project management team, DHHS's Project Lead, and other key staff will attend the Status Meetings. Meetings will follow a standard pre-set agenda jointly prepared by the Contractor and the DHHS Project Lead. The meeting agenda will be distributed twenty-four (24) hours before the scheduled meeting. The agenda should be flexible to allow discussion of other issues or concerns. The Contractor must create written meeting records, in an agreed format, for the DHHS Project Lead. All meeting records and related documents will be stored in electronic format within the Electronic Project Library (EPL) (to include an index of meeting records).

VisualVault agrees to meet this requirement within the timeframe stated. We will provide weekly and monthly status reporting on the project. [redacted]

The protocol for project and status meetings will include the scheduling of the weekly meetings in advance. The VisualVault and DHHS Project Managers will attend with the other key staff. Meetings will follow a pre-set agenda agreed on by the Project Managers. The agenda, and relevant supporting materials, will be distributed 24 hours before the meeting and will be flexible to include ad-hoc topics related to issues and risks. Our Project Manager, David, will document and distribute the meeting minutes.

The following is an example of our standard status report.

[redacted]

EPL (Phase 1.4) [V.E.2.a.vi]

vi. EPL (Phase 1.4) - (Due 15 days after contract start date) The Contractor shall provide a method for an EPL for documenting Contractor's efforts on this project, and also acts as a repository to retain, share, and track critical project information. The EPL will include both current and historical versions of the Detailed Project Work Plan as well as all other project documents. The EPL will be maintained and remain accessible to both DHHS and the Contractor's project teams throughout the life of the contract, including all renewals and extensions. All project staff will be given appropriate folder-level and file-level access and restrictions according to standards agreed upon between the Contractor and DHHS. The Contractor will provide a description of the security measures that will be put in place to ensure that only authorized personnel have access to the EPL. As appropriate, all materials in the EPL will be indexed for easy retrieval. Contractor's designated documents and files will be maintained as part of the EPL.

VisualVault agrees to meet this requirement within the timeframe stated. [redacted]. Materials will typically be shared electronically for rapid sharing with all key stakeholders, even if they are in different locations. Individual user security and access can be configured according to DHHS requirements. [redacted]

Security Plan (Phase 1.5) [V.E.2.a.vii]

Vii. Security Plan (Phase 1.5) - (Due 15 days after contract start date) The Security Plan must include application controls to prevent unauthorized use, maintain system process controls, and log all transactions. In addition, the system must provide security to limit availability to application functionality, software screens, data records, data elements, and data element values where appropriate. The Contractor shall develop and document a Security Plan to prevent unauthorized use and disclosure of sensitive and confidential data. The Security Plan shall include administrative, physical, and technical safeguards. The plan must also conform to State and Federal laws and regulations. The State must approve the Security Plan, and will, from time to time, conduct audits of the Security Plan. The State must approve modifications to the Security Plan. The Contractor must provide full cooperation during those audits.

VisualVault agrees to meet this requirement within the timeframe stated. We maintain a security plan (included in Section 4) that provides an overview of the different security controls, though not at the level of detail requested in this RFP. Our team commits to implement the additional requirements within this section and to include the State of Nebraska in the process of modifications to the security plan. Our team commits to implement the additional requirements within this section and to include the State of Nebraska in the modification process.

Business Continuity/Disaster Recovery (Phase 1.6) [V.E.2.a.viii]

viii. Business Continuity/Disaster Recovery (Phase 1.6) - (Due 15 days after contract start date) The Contractor must develop a Business Continuity Plan which includes the following:

- *a) Identification of the core business processes;*
- *b) For each core business process:*
  - *1) Identification of potential system failures for the process,*
  - *2) Risk analysis,*
  - *3) Impact analysis,*
  - *4) Definition of minimum acceptable levels of outputs.*
  - *5) Documentation of contingency plans; and*
  - *6) Definition of triggers for activating contingency plans;*
- *c) Discussion of establishment of a business resumption team;*
- *d) Maintenance of updated disaster recovery plans and procedures; and*
- *e) Plan for replacement of contractor personnel*

VisualVault agrees to meet this requirement within the timeframe stated. We maintain a Disaster Recovery and Business Continuity Plan (DR/BCP) that includes all the listed criteria in this section. We added this plan in Section 4.

Requirements Analysis (Phase 2.) [V.E.2.a.ix]

ix. Requirements Analysis (Phase 2.0) - (Due after contract start date) The outcome of Requirements Analysis is a set of documents that define the details of the baseline functionality to be included in the system. These documents will be developed in conjunction with the Business and Technical Requirements Traceability Matrixes.

The Requirements Analysis activity will include a pilot prototype system integrated with the business process analysis and software configuration process for each matrix.

VisualVault will complete the Requirements Analysis Activity. Our experienced team understands the content, intent of the requirement, and the deadline.

During this phase of the project, we meet with subject matter experts (SMEs), project stakeholders, and DHHS leadership to understand the needs of the organization, the business processes, roles of individuals involved in the process, security, and reporting needs. We seek to identify issues and bottlenecks in the current process. We will suggest solutions to resolve current issues and industry best practices we have delivered for other clients.

Detailed requirements gathering is a key part of the Business Analysis phase. Detailed system requirements are generated that outline how the system will be configured to meet the needs and scope of the project. These requirements will verify that the new solution will meet the needs of the DHHS.

FIT/GAP Analysis (Phase 2.0) [V.E.2.a.x]

x. FIT/GAP Analysis (Phase 2.0) - (Due after contract start date) The fit/gap analysis will document the disposition of each requirement and the resolution of identified gaps (e.g., customization, workaround, eliminate requirement). The Contractor shall assist DHHS in identifying appropriate business process improvement opportunities, documenting the recommended changes, and planning and implementing approved business process changes. Traceability and mapping are key components throughout this process.

VisualVault will complete the FIT/GAP Analysis. Our experienced team understands the content, intent of the requirement, and the deadline.

During this phase, the VisualVault Team takes the requirements and turns them into how we will configure the solution to meet the requirements. We create a Detailed Design Specification Document to detail the way the solution will support each requirement. We update the Requirements Specification Document to show traceability throughout this process.

Design, Development, and Implementation (DDI) Phase [V.E.2.b]

The following table contains the requirements for the Contractor in the Design, Development, and Implementation (DDI) phase of the project. The due dates for each phase will be determined in the Detailed Work Plan.

Design (Phase 3.0) [V.E.2.b.i]

i. Design Phase (3.0) - (Due date determined in Detailed Work Plan) Contractor will conduct design sessions, Joint Application Development (JAD) sessions, business rules sessions, and workflow sessions to develop the Design requirements. Prior to each session, the Contractor shall develop/update the proposed preliminary designs to the extent that it is possible and present it at the session.
The Contractor shall evaluate the detailed design and test requirements, considering:
- *a) Traceability to the requirements of the software item*
- *b) Consistency with architecture*
- *c) Feasibility of testing*
- *d) Feasibility of operation and maintenance*

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan.

[redacted]

Detailed System Design Document (DSDD) (Phase 3.1) [V.E.2.b.ii]

ii. Detailed System Design Document (DSDD) (Phase 3.1) - (Due date determined in Detailed Work Plan) The DSDD must be approved by DHHS and shall conform to generally accepted industry practices. The DSDD must be updated to reflect changes identified through the DDI phase. Updated sections must be provided to DHHS for review and written approval within ten (10) business days of a system change.

[redacted]. We will review the outline for the deliverable with DHHS before the development of that deliverable, allowing stakeholders to anticipate what they will be asked to review and to allot better the time required to approve the final deliverable submission. The review process by DHHS should be completed within ten business days of deliverable submission.

Testing Plan (Phase 3.2) [V.E.2.b.iii]

iii. Testing Plan (Phase 3.2) - (Due date determined in Detailed Work Plan) Contractor shall define and document test requirements and a schedule for testing software units. Testing requirements shall include any compliance testing with industry standards and regulations.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan. [redacted]

We will present a Test Plan for the State's approval and feedback at the beginning of the project. We will work with the State to finalize this plan to ensure that the solution meets or exceeds the functional, technical, security, and performance contractual requirements. Our comprehensive plan will establish a strategy that will be used to test the solution, communicate the phases of testing that will occur and establish the acceptance criteria that will be used for the solution to progress from one phase of testing to another, including the acceptable resolution of defects before advancing to the next environment.

VisualVault uses automated tests to make sure core product features work consistently. Customer-specific features are tested by users interacting with the solution to exercise the business rules of the solution.

[redacted]

Development, Interfaces, and Integration (Phase 4.0) [V.E.2.b.iv]

iv. Development, Interfaces, and Integration (Phase 4.0) - (Due date determined in Detailed Work Plan) Contractor shall conform to software engineering best practices defined in the industry for the development of system components.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan.

VisualVault provides quality solutions and professional services to our customers. The quality of our solutions starts with the accurate identification of the features and capabilities of our solution. To arrive at the closest point possible, we use the Zachman Framework and TOGAF standard for analyzing requirements through different perspectives.

User stories and design documents resulting from feature analysis are used during development. As we embark on the development and configuration of the features, we use agile product development to configure small pieces of functionality and measure the progress of the project. Development also involves adhering to project coding standards, strict source code management, QA review by peers, and recommended quality checklists to ensure that development reflects the highest quality.

We create test cases and plans for everything that we build. [redacted] Our team will configure the platform and develop interfaces and data integration according to industry best practices and software standards.

Software Development Plan (Phase 4.1) [V.E.2.b.v]

v. Software Development Plan (Phase 4.1) - (Due date determined in Detailed Work Plan) Contractor shall create the Software Development Plan, which shall describe the methods and process for using a systematic, documented approach for all software development activities and the environment in which this work will be completed.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan.

The project and its successful implementation centers around clear Specifications and Design Documents. The VisualVault Implementation Team uses these documents to plan the configuration of the solution. The Software Development Plan will communicate how we identify and schedule tasks to configure our system in a fashion that helps to build parts of your solution most effectively.

We group the tasks to help manage configuration sprints and provide opportunities to demonstrate configuration progress to the State. The Software Development Plan will also reference the standards and checklists that we use to ensure that each process is configured to the highest quality possible. The Plan will also communicate how we manage the code when integrating with other solutions or supporting, building, and using web services.

Construction Summary Report (Phase 4.2) [V.E.2.b.vi]

vi. Construction Summary Report (Phase 4.2) - (Due date determined in Detailed Work Plan) Contractor shall provide to DHHS a Construction Summary Report during the Development work as requested. The report must contain, at a minimum:

a) Major products developed, delivered, or updated
b) Identification of all issues that have arisen and resolutions (identification of issues/risks that may impact the next phase)
c) Assurance of walkthrough and transfer of knowledge

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan.

Under most circumstances, key points occur at demonstration milestones throughout the project and during testing. An established contract may identify other relevant events in the project when Construction Summary Reports are required. During the Testing Phase of the project, we will provide this report in the form of tickets tracking bugs and the resolution of those bugs.

Code Management Plan (Phase 4.3) [V.E.2.b.vii]

vii. Code Management Plan (Phase 4.3) - (Due date determined in Detailed Work Plan) Contractor shall provide to DHHS a Code Management Plan for any customization included in the proposal.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan.

[redacted]

Master Schedule of Interface Development Efforts (Phase 4.4) [V.E.2.b.viii]

viii. Master Schedule of Interface Development Efforts (Phase 4.4) - (Due date determined in Detailed Work Plan) At a minimum, the system must interface with the following:

a) ACO, the CMS software for health care facilities and services, for a daily import of data.
b) Licensure compact organizations, including the National Council of State Boards of Nursing (NCSBN), Physical Therapy Compact, and the Interstate Medical Licensure Compact (IMLC), for daily imports and exports of data.
c) Schools, facilities, and individuals to submit/upload data.

The System must also support functionality to export data files in standard file formats (i.e. .xls, .csv, .txt, etc.).
Contractor shall be responsible for developing all interfaces needed. This includes interface design, development, validation, testing, and documentation. DHHS will coordinate any required interactions with other parties who will need to modify their systems to use these inbound and outbound interface datasets.
Contractor shall be responsible for developing interface standards for specific parties interfacing with the system. The Contractor shall also assist the parties interfacing with the system by providing consulting support and assistance with testing at no additional cost. For example, the system should automatically export and import disciplinary data with NURSYS on a daily basis; automatically import establishment license and certification data from the federally-owned ACO software to update the database on a daily basis; allow other state entities to upload and populate data, such as Step Up To Quality ratings for child care programs and fingerprint-based background searches; and allow third parties, such as schools, exam providers, and employers, to upload and overwrite data.
Contractor shall develop a master schedule of interface development efforts that is integrated with the Detailed Project Work Plan.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan.

[redacted]

How?

[redacted]

- [redacted]
- [redacted]

[redacted]

[redacted]

Interface Design/Test Environment/Testing (Phase 4.5) [V.E.2.b.ix]

ix. Interface Design/Test Environment/Testing (Phase 4.5) - (Due date determined in Detailed Work Plan) The Contractor shall ensure that a stable and accessible interface testing environment is available by an agreed-upon date and demonstrate successful interface testing.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan. [redacted]

[redacted]

[redacted]

Data Conversion (Phase 5.0) [V.E.2.b.x]

x. Data Conversion (Phase 5.0) - (Due date determined in Detailed Work Plan) Contractor shall have responsibility for converting historical data into the system. The Contractor will work with the relevant parties (such as current Contractor, Licensure Unit staff, DHHS IS&T, OCIO) to obtain data conversion files containing the data elements in the format and the agreed-to timeframe necessary to support testing, conversion, and overall project plan.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan. [redacted]

[redacted]

[redacted]

We understand and agree with the requirements and key objectives for data conversion.

Data Conversion Plan (Phase 5.1) [V.E.2.b.xi]

xi. Data Conversion Plan (Phase 5.1) - (Due date determined in Detailed Work Plan) Contractor shall lead interactive conversion strategy sessions with DHHS and other stakeholders to develop a Data Conversion Plan that addresses all components of the data conversion phases.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan.

[redacted]

Conversion Guide (Phase 5.2) [V.E.2.b.xii]

xii. Conversion Guide (Phase 5.2) - (Due date determined in Detailed Work Plan) Contractor shall develop a conversion rules and processes guide 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 convert all licensure/certification/inspection data, including document templates and a daily import of ACO data.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan. [redacted]

[redacted]

Conversion Results Report (Phase 5.3) [V.E.2.b.xiii]

xiii. Conversion Results Report (Phase 5.3) - (Due date determined in Detailed Work Plan) Contractor shall execute the data conversion activities according to the Data Conversion Plan. The final step of the data conversion process is the Conversion Results Report.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan. [redacted]

[redacted]

[redacted]

Testing (Phase 6.0) [V.E.2.b.xiv]

xiv. Testing (Phase 6.0) - (Due date determined in Detailed Work Plan) Contractor shall be responsible for carrying out a unit, system, and integration testing for all programs, modules, and subsystems throughout the development and management life cycles. Contractor is responsible for successfully completing system and user acceptance testing prior to implementation. Contractor is responsible for certifying that each program, module, and sub-system meets or exceeds all of the functional, technical, and performance requirements prior to implementation. Contractor shall be responsible for working with DHHS in structuring testing environments that mirror the production environment.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan. [redacted] When we develop user stories and test scripts, we develop the documentation using Scenarios coupled with Cause and Effect test script styles. The user stories and test scripts act as a baseline to ensure that the critical capabilities of the system function properly. We also expect that testers will perform off-script testing to ensure that users cannot take actions that break or work in the system contrary to expected use.

Testing occurs early in the configuration process and is conducted by the developers and the VisualVault Quality Assurance Team. Our team conducts System Integration Testing to ensure that the configured processes work together. Then, we turn testing over to customers. We document additional information regarding the Testing phases requiring DHHS involvement in the following sections.

System Integration Testing (Phase 6.1) [V.E.2.b.xv]

xv. System Integration Testing (Phase 6.1) - (Due date determined in Detailed Work Plan) Contractor shall develop and perform System Integration Testing (SIT).

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan.

In our experience, System Integration Testing can mean that testing has occurred to ensure that processes within the solution interact with each other as expected. System integration Testing can also refer to making sure that the solution integrates with a third-party solution as intended for the implemented solution.

For both of these definitions, VisualVault will test scenarios before turning over to the customer for User Acceptance Testing (UAT). The test script will include concise test cases to ensure the configured solution was implemented to reflect the scope identified in the Specification and Design Documents.

User Acceptance Testing (Phase 6.2) [V.E.2.b.xvi]

xvi. User Acceptance Testing (Phase 6.2) - Contractor shall develop the initial User Acceptance Testing (UAT) test scenarios.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan.

Key State users conduct UAT by testing the system functionality against the requirements and approving the system for Go-Live. UAT will occur against the Sandbox-Test environment as the first phase. The final phase of UAT quality checks that the Production environment is ready for a successful launch. The VisualVault Team will coordinate all designated stakeholders and assist as needed, including demonstrations, test data creation, and defect resolution.

Test Scripts, Test Conditions, Expected Results, Actual Results (Phase 6.3) [V.E.2.b xvii]

xvii. Test Scripts, Test Conditions, Expected Results, Actual Results (Phase 6.3) - (Due date determined in Detailed Work Plan) Contractor shall build detailed testing scripts, determining expected results, establishing testing procedures and protocols, etc. DHHS must approve in writing all test scenarios prior to testing. Acceptance testing will include testing by users of all system functions, including but not limited to, proper functioning of software, hardware, and network components, as well as both data content, output, and connectivity components. It also offers the opportunity to test documentation, procedures, and business processes.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan. We will provide a detailed testing script that identifies the steps a tester should take to test functionality and the expected outcome of those tests. We will establish, document, and communicate the Testing procedures in the Test Plan. Acceptance Testing will include testing all scripts and conditions from the testing script. Testing will also include testing with customer migrated data (if included in the contract).

[redacted]

Our team will update training documentation and test scripts throughout testing to reflect changes and decisions made about how the system works. We will update all documentation going into production. We want our customers to have the best experience possible, going into production with a new solution.

Testing Results Weekly Report (Phase 6.4) [V.E.2.b.xvii]

xviii. Testing Results Weekly Report (Phase 6.4) - (Due date determined in Detailed Work Plan) Contractor shall manage the testing effort and other related events and communicating this ongoing information with the DHHS Project Leader via a weekly report in the EPL. DHHS will designate members of the State testing team and will notify Contractor of team additions or revisions.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan. We will support this need by providing a report of issue/bug tickets that have been resolved and tickets that are open each week. Our team actively uses this information to manage the workload of implementers, correct issues, and communicate to the testers what they can test.

System Testing Results Report with an Updated RTM (Phase 6.5) [V.E.2.b.xix]

xix. System Testing Results Report with an Updated Requirements Traceability Matrix (Phase 6.5) - (Due date determined in Detailed Work Plan) Contractor must provide DHHS with all test results to include the tracking and correction of deficiencies. DHHS will not procure testing tools for this project, and any testing tools proposed shall be provided and licensed by the Contractor for use by its staff and the applicable DHHS staff for the project at the testing site. Contractor shall provide any required training on the proposed testing tools to all State staff that will be required to use the proposed testing tools at no cost to the State. At the end of the testing period, testing artifacts will be transferred to DHHS. The Contractor shall also provide any needed testing infrastructure (desktops, servers, etc.) and/or licensing to support any Contractor-provided testing tools.

VisualVault agrees to meet this requirement as determined in the Detailed Work Plan.

This project will not require the State to acquire any testing tools. All testing is conducted on existing devices utilized by the testers. Testers simply need a web browser to test VisualVault.

Throughout testing, our team will update all documentation relating to the RTM, Specifications Document, and Design Document. As part of Close-out, we will deliver the updated documentation to DHHS. We will also provide all testing artifacts before going into production. We provide training at the beginning of UAT as a standard deliverable to increase the effectiveness of testers verifying the capability of the system.

Training (Phase 7.0) Due with Proposal [V.E.2.b.xx]

xx. Training (Phase 7.0) Due with Proposal - (Due with Proposal) The Contractor must provide training to include, but not limited to, train-the-trainer sessions, online training materials, and administrator and user reference materials.

VisualVault is designed for a positive, intuitive user experience. Our core belief is that the system must make sense for the users to easily navigate to be successful. Therefore, a lot of time and energy is dedicated to the training, license type, and user-specific training based upon roles. This seems granular, yet it is worth the effort by all in the system use, which creates efficiencies for all stakeholders.

[redacted]

Training Plan (Phase 7.1) [V.E.2.b.xxi]

xxi. Training Plan (Phase 7.1) - (Due with Proposal) The Contractor shall detail all activities for training in the proper use of the system. It will provide a description of the train-the-trainer strategy, including methods, materials, and timing. The Contractor must submit the Training Plan to DHHS two (2) months prior to the train-the-trainer session(s). This will allow time to prepare the necessary logistics for the session(s).

VisualVault agrees to the Training Plan two months prior to the train-the-trainer sessions.

VisualVault finds that the Training Plan is an essential element to clear communications and delivery of a successful project. [redacted]

Train the Trainer (T3) Sessions (Phase 7.2) [V.E.2 b.xxii]

xxii. Train-the-Trainer Session(s) (Phase 7.2) - ((Due with Proposal) The Contractor shall provide onsite train-the-trainer session(s) for approximately fifteen (15) trainers in Lincoln, Nebraska. Training materials for each train-the-trainer session shall be provided to DHHS a minimum of three (3) weeks before the onsite training session(s). The Contractor shall provide leave-behind materials specific to the trainer group and will be available for on-going advice to ensure the success of the train-the-trainer approach. The Contractor shall provide, at no additional cost to the State, supplemental training for the trainer group if the State determines that significant system updates occurred. This supplemental training may occur onsite or via video conference, web portal, manual, or other mutually agreeable delivery method.

VisualVault agrees to supply all training materials a minimum of three weeks before the onsite train-the-trainer sessions.

[redacted]

[redacted] This training is very critical to ensure that the knowledge is transferred clearly to trainers so they can provide clear instruction to others.

[redacted]

[redacted]

[redacted]

Online Training Materials (Phase 7.3) [V.E.2.b.xxiii]

xxiii. Online Training Materials (Phase 7.3) - ((Due with Proposal)The Contractor shall make available online training for those who need a refresher lesson after the training. Multiple instances of each function will need to be developed if there are variations between the users/security profiles, as each may have a slightly different view of the system (menus, options, and workflow differ based on user log in). These online training materials must be provided in a mutually agreeable delivery method.

[redacted]

[redacted]

Administrator and User Reference Materials (Phase 7.4) [V.E 2.b.xxiv]

xxiv. Administrator and User Reference Materials (Phase 7.4) - (Due with Proposal) The Contractor shall provide reference materials for each type of training (such as new user and administrator), including quick start guides and FAQs, updated when service packs/upgrades are deployed. These reference materials must be provided in a mutually agreeable delivery method.

[redacted]

State-Specific Administrator Manuals

To support administrator training, we provide two sets of documents. [redacted]

The second document is a System Administrator user guide specific to the Nebraska DHHS LIS. This guide will be created to support the use and administration of the DHHS LIS before going into UAT. This second document is updated as the DHHS Licensure Information System changes during UAT and as the system is enhanced after going into production as part of our standard procedures. A preliminary Data Dictionary is created per the RFP requirements. It will be updated to reflect the final configuration going into UAT and then again when the solution goes into production. Other updates will occur as major changes in the database schema occur to support enhancements over time.

State-Specific User Manuals

[redacted]

[redacted] This self-reliance is in alignment with VisualVault's design and approach of a configurable system, which is a key objective of this project.

[redacted]

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 LIS administrators to ensure the system evolves as requirements change.

When configuring a solution, there are several mechanisms for configuring how end-users securely access the content. When users are created within VisualVault, by default, they do not have access to anything within the system. We provide system access by assigning a base layer of permissions to allow each user to view, edit, or own content. The next layer of access control is based on the configuration of the system.

Administrators and solutions architects can configure a portal, menus, and dashboards to only permit certain information to be published to certain users and user groups. A user may have editor access to the core records. The proper configuration of portals and menus are designed to restrict user permissions to add to content security.

[redacted]

Implementation (Phase 8.0) [V.E.2.b.xxv]

xxv. Implementation (Phase 8.0)

[redacted] We discuss each in more detail in the following sections.

System Implementation Plan (Phase 8.1) [V.E.2 b.xxvi]

xxvi. System Implementation Plan (Phase 8.1) - (Due date determined in Detailed Work Plan) The Contractor shall develop a System Implementation Plan that includes:

a) Activities needed immediately prior to implementation
b) Staffing requirements
c) Communication activities
d) Plan for completion of knowledge transfer
e) Checklists of work to be performed and/or outputs to be produced on the first day and at the end of the first week, month, quarter, and year of operation
f) Rollback plan to include in detail what will be done if the implementation does not succeed

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan.

[redacted]

Approved Final Readiness Assessment (Phase 8.2) [V.E.2.b.xxvii]

xxvii. Approved Final Readiness Assessment (Phase 8.2) - (Due date determined in Detailed Work Plan) The Contractor shall create the Final Readiness Assessment to assist in the determination of final implementation readiness. Written approval of this Assessment constitutes DHHS's decision to move forward with implementation. At a minimum, the Assessment must address the following:

a) An assessment summary that includes the analysis completed, risks, and mitigation associated with implementation, and a recommendation about proceeding
b) Status of data migration/conversion efforts and its completion
c) A guarantee that disaster recovery, where applicable, is documented and ready
d) Documentation of user acceptance testing approval by DHHS
e) Knowledge transfer sign-off by DHHS
f) Guarantee that all locations, system users, and security profiles have been identified and set up
g) Documentation that Help Desk is ready and staffed for deployment
h) Confirmation that DHHS power users are available and ready to assist at various sites for initial deployment

Throughout the DDI Phase, the Contractor's objective shall be to implement all required system functionality. The system shall satisfy contractual business and technical requirements per attachments two and three and conform to the approved System Implementation Plan.

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan.

The final approved readiness assessment will bring document all aspects of the project and demonstrate that the necessary prerequisites for go-live have been addressed. These items include:

- ✓ An assessment summary that includes the analysis completed, risks, and mitigation associated with implementation, and a recommendation about proceeding

- ✓ Status of data migration/conversion efforts and its completion
- ✓ A guarantee that disaster recovery, where applicable, is documented and ready
- ✓ Documentation of user acceptance testing approval by DHHS
- ✓ Knowledge transfer sign-off by DHHS
- ✓ Verification that all locations, system users, and security profiles have been identified and set up
- ✓ Documentation that Help Desk is ready and staffed for deployment
- ✓ Confirmation that DHHS power users are available and ready to assist at various sites for initial deployment

User Documentation and Help Files (Phase 8.3) [V.E.2.b.xxvii]

xxviii. User Documentation and Help Files (Phase 8.3) - (Due date determined in Detailed Work Plan) The Contractor must develop and maintain user documentation and help files which are searchable based on a topic and/or keyword. Documentation must be updated when service packs/upgrades are deployed.

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan.

User documentation and help files are a standard deliverable provided with VisualVault projects. The media will be searchable. As our team makes changes to the solution for DHHS at any time before or after going into production, we will update and distribute these resources. We will also provide the raw media files to DHHS so that your team may update, refresh, or segregate the topics to deliver the documentation more succinctly to different user groups.

Hardware and Software Product Documentation (Phase 8.4) [V.E.2.b.xxix]

xxix. Hardware and Software Product Documentation (Phase 8.4) - (Due date determined in Detailed Work Plan) The Contractor must develop and maintain documentation for all hardware and software products including reference guides, user guides, technical guides/manuals, and technical documentation (system administration, configuration workbook, system architecture, application architecture, etc.). Documentation must be updated when service packs/upgrades are deployed.

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan. We will provide the technical user guides to DHHS for reference on how to use and configure our software platform. As we are providing a true SaaS solution, no hardware documentation can be provided.

System Go-Live (Phase 8.5) [V.E.2.b.xxx]

xxx. System Go-Live (Phase 8.5) - (Due date determined in Detailed Work Plan) System go-live is the date on which the system has been fully implemented (meets all established business and technical requirements per attachments two and three for each license type). This is the date on which the twelve (12) month post-implementation support period begins. DHHS's acceptance of this requirement will be subject to the Section V. G. Requirements Acceptance procedures.

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan.

System Error Documentation (Phase 8.6) [V.E.2.b.xxxi]

xxxi. System Error Documentation (Phase 8.6) - (Due date determined in Detailed Work Plan) Documentation that explains system error or performance messages to users and administrators, with the actions required. Documentation must be updated monthly during the DDI Phase. After the DDI Phase, documentation must be updated when service packs/upgrades are deployed.

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan. We will provide system error documentation as part of the project and will update it during the DDI Phase.

Burn-In Period (Phase 9.0) [V.E.2.b.xxxii]

xxxii. Burn-In Period (Phase 9.0) - (Due date determined in Detailed Work Plan) The Burn-In Period will begin upon completion of System Go-Live (Phase 8.5) and will continue for ninety (90) calendar days thereafter, unless one of the following software incidents occur:

a) Out of Business: The software incident causes the system to be completely down, and DHHS is unable to conduct business with the software; or
b) Time Sensitive: The software incident pertains to time-sensitive functions, such as processing payments and issuing or renewing licenses.
In the event that a software incident occurs, the Burn-in Period will be stopped, and the Contractor will complete all necessary work to correct the problem. The software incident will be considered resolved when both parties agree that the Contractor has provided a permanent solution to the software issue. When both parties agree the software incident has been resolved, DHHS will notify the Contractor in writing whether the Burn-in Period will be continued, extended past the initial ninety (90) calendar days, or restarted to day zero.

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan.

Under normal, successful implementations, we propose a transition period after System Go-Live, where the solution transitions over to VisualVault operations and support. We are willing to align the contract and agreements with DHHS to include a 90-day Burn-In Period that has conditions supporting Out of Business and Time Sensitive issue restarts of the Burn-In Period until the Burn-In Period of 90 calendar days completes successfully.

Post Implementation Support Phase [V.E.2.c]

c. The first twelve (12) months following the implementation will be known as the Post Implementation Support Period and will be followed by the on-going Operations and Maintenance Period. During this period, users will need to have help desk access to assist and answer questions for routine functions that were presented in training but require refresher training or assistance. (Due date determined in Detailed Work Plan)

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan. To prepare for an effective transition into the Post Implementation Support Phase, VisualVault Professional Services includes the Support Team at the end of UAT Phase One in meetings and issue triage and resolution. This support enables knowledge transfer and communications between our team and DHHS.

During the Burn-In period, both teams are actively involved in supporting the State. After the Burn-In period ends, our Support Team will become the primary point of contact for the State. Our Support Team offers informal training and assistance to resolve issues within the scope of the implemented solution. This team escalates issues to our Professional Services Team.

Operations & Maintenance (O&M) Phase [V.E.2.d]

d. The Operations & Maintenance Phase begins upon State approval of successful Implementation. The following table contains the list of requirements of the Contractor for the Operations and Maintenance (O&M) phase following the implementation of the system. Details for these requirements follow in the narrative after the table. The due dates for each phase will be determined in the Detailed Work Plan. (Due date determined in Detailed Work Plan)

O&M Overview (10.0) [V.E.2.d.i]

i. Operations and Maintenance Overview (10.0) - (Due date determined in Detailed Work Plan) Operations & Maintenance (O&M) activities include, but are not limited to, the following:

a) Perform system maintenance, including testing, documentation, etc.
Note: Maintenance shall be conducted outside of DHHS's normal business hours (Monday - Friday, 8 a.m.-5 p.m. Central Time).
b) Record, track, and resolve system defects at no additional cost to the State.
c) Maintain ongoing operations according to the performance measures and the corresponding liquidated damages per Attachment Five.
d) Conduct necessary software updates
e) Conduct maintenance of interfaces
f) Provide Help Desk support with predefined technical support prioritization levels
g) Provide security management
h) Support policy and process changes
i) Keep portal up to date
j) Keep all written material, including all system documentation and scripts, up to date as changes occur

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan.

VisualVault provides extensive support that is recognized by our clients as one of the strengths of working with our team.

[redacted]

Operating Procedures Guide (10.1) [V.E.2.d.ii]

ii. Operating Procedures Guide (10.1) - (Due date determined in Detailed Work Plan) The Contractor shall develop and maintain documentation on operating procedures to assist technical staff in operation and maintenance of the System. These procedures help define and provide understanding of system operations and performance. The operations procedures will address all facets of the technical operation of the system. The Operating Procedure Guide must be continuously updated (at a minimum quarterly) to reflect the latest changes.

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan.

As a quick overview (details delivered as determined in the Detailed Work Plan), VisualVault includes the Operating Procedure Guide as help and training materials provided to the staff who are administrators of the system. These procedures will communicate how administrators can address common issues they may encounter. We also provide the Design Document as a Reference Guide to help administrators understand the business rules of the solution. These rules serve as a baseline to help administrators troubleshoot issues and resolve issues that are within their ability to resolve.

VisualVault also maintains operating procedures relating to the day-to-day data center operations. We will provide these procedures upon request.

Help Desk (10.2) [V.E 2.d.iii]

iii. Help Desk (10.2) - (Due date determined in Detailed Work Plan) The Contractor shall be responsible to operate and support a Help Desk with an on-call staff person 24/7/365.
The Contractor shall provide documentation which defines and documents the processes and procedures for Help Desk operations. These procedures should include problem identification and initial diagnosis, problem escalation procedures, problem ticketing, problem logging, assignment of priority, and the ability to search through previous problems to find resolutions for new problems. The system must have a clear, quick, and effective escalation path.
For resolution of issues that put DHHS out of business or are time sensitive, refer to Attachment Five, Liquidated Damages.
For resolution of issues related to general operation of the system that are not time-sensitive and for general or how-to questions, Contractor will provide a viable solution within ten (10) business days.

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan. [redacted]

Problem Resolution Plan (10.3) [V.E.2.d.iv]

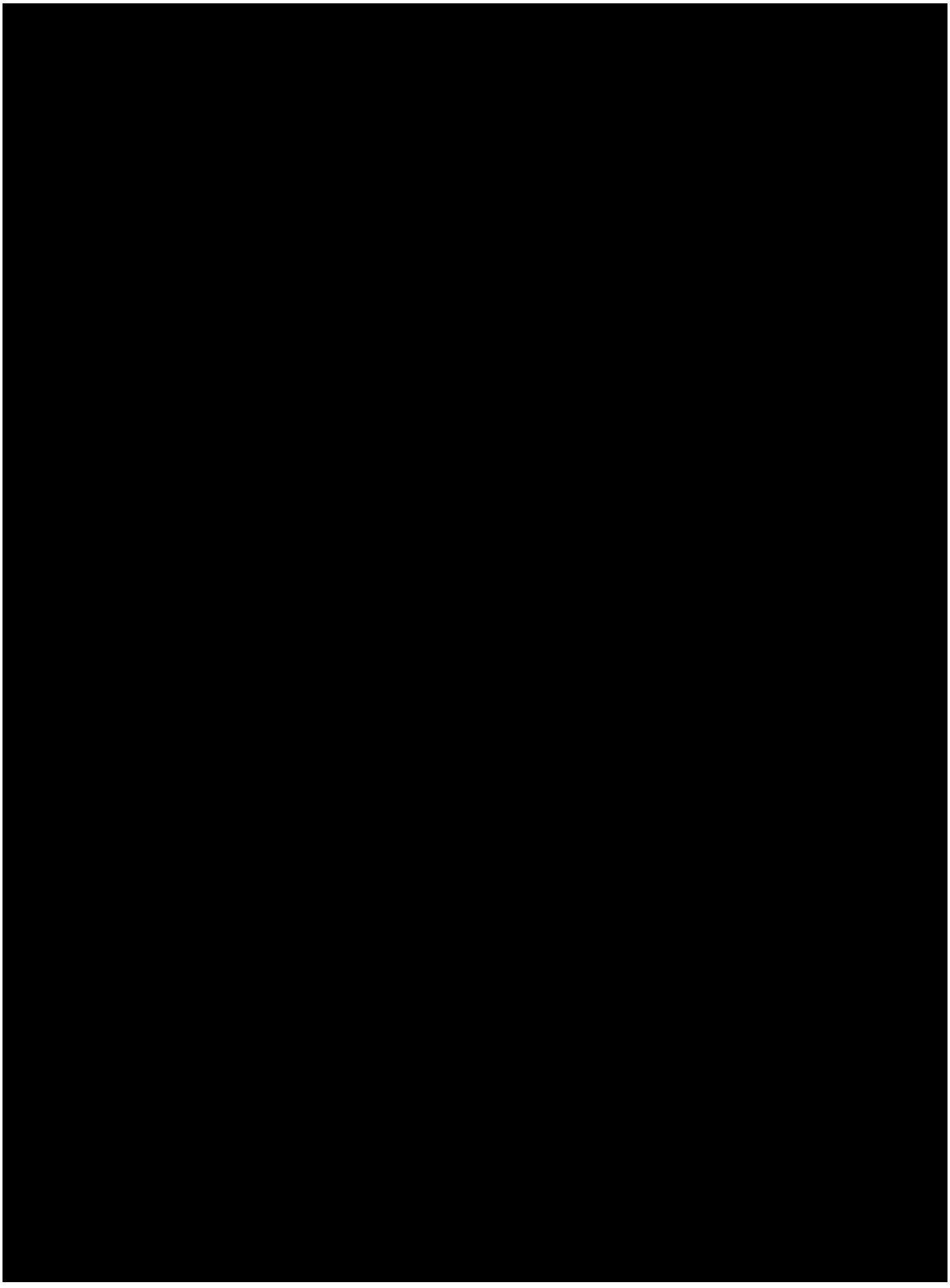
iv. Problem Resolution Plan (10.3) - (Due date determined in Detailed Work Plan) The Contractor shall establish procedures for receiving, recording, and tracking problem reports and modification requests from users, and providing feedback to users. Whenever problems are encountered, the problems shall be recorded and entered into the problem resolution process. The Contractor shall implement (or establish organizational interfaces with) the configuration management process for managing resolutions to the existing system.
The Contractor and DHHS will develop a mutually agreeable Problem Analysis and Resolution Plan prior to completion of system implementation.

The Contractor shall provide interactive support for users to report system problems.

VisualVault agrees to meet this requirement within the timeframe stated in the Detailed Work Plan.

[redacted]

Meetings to prioritize issues will be an opportunity to resolve critical issues, request clarification on existing issues, and communicate when resolved issues will be implemented. VisualVault has a documented support process that will cover the needs of DHHS. We will update or adjust our procedures to ensure we are meeting the needs of the State. The following is a chart that illustrates our escalation process for resolving issues reported by customers.



Section 4

Attachments

VisualVault is providing the following attachments for your review.

1. Draft Project Management Plan
2. VisualVault Content Services Platform Functionality List
3. VisualVault Security Plan
4. VisualVault Accessibility Conformance Report
5. VisualVault Backup and Recovery Procedure
6. VisualVault DR & BC Plan
7. VisualVault Contingency Planning Policy
8. VisualVault 2019 Type 2 SOC 1 Final Report
9. VisualVault 2019 Type 2 SOC 2 Final Report
10. VisualVault 2019 Type 1 HIPAA Final Report
11. VisualVault Hosting Agreement

All Attachments have been fully Redacted.