**Attachment A –Requirements Matrix**

This Attachment X must be completed and included in the vendor proposal response. Each of the requirements should have one of the response codes described below next to each requirement.

**Offeror Response Codes**

|  |  |
| --- | --- |
| **CF** | **Current Functionality** |
| **CC** | **Current Functionality with**  **Configuration** |
| **TP** | **Third Party**  **Tool** |
| **RCD** | **Requires Custom**  **Development** |
| **NA** | **Not Applicable** |

**Global**

Global includes the general functional, system administration, workflow and business rules management requirements. The requirements in this category address general functionality that is not limited to specific business processes.

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| --- | --- | --- | --- | --- | --- | --- |
| **Req #** | | **Description** | | **Response**  **Code** | | **Explanation** |
| GLO-1 | | The proposed solution shall be web based and they shall conform to Nebraska Revised Statutes security standards and protocols. | |  | |  |
| GLO-2 | | The proposed solution shall store data concerning all individuals and entities with whom the Department interacts in a central location. The information to be stored will be determined during the requirements phases. | |  | |  |
| GLO-3 | | The proposed solution shall allow create, edit, view, and print functionality for any individual/entity record information. | |  | |  |
| GLO-4 | | The proposed solution shall provide the ability to add and maintain dated and user identifiable notes and comments made for the record of an individual/entity. | |  | |  |
| GLO-5 | | The solution shall allow a user to search by license or other parameters as defined during the requirements phase. Any record displayed can be opened, viewed and worked on. | |  | |  |
| GLO-6 | | The proposed solution shall retrieve data concerning all individuals and entities with whom the Department interacts in a time efficient manner. | |  | |  |
| GLO-7 | | The proposed solution shall allow multiple individuals to view information stored in the solution at the same time. | |  | |  |
| GLO-8 | | The proposed solution shall prevent multiple users from updating the same record at the same time. | |  | |  |
| GLO-9 | | The proposed solution shall track requests for information including which documents were released (e.g. requests from the public). | |  | |  |
| GLO-10 | | The proposed solution shall allow a user to open multiple screens/windows simultaneously. | |  | |  |
| GLO-11 | | The proposed solution shall prevent application of duplicate document numbers or reference numbers based on user-specified criteria. | |  | |  |
| GLO-12 | | The proposed solution shall allow a user to cancel a transaction and/or exit any document. | |  | |  |
| GLO-13 | | The proposed solution shall generate system messages, including level of urgency (e.g. processing, error handling, and/or other communication) that are clearly stated in English. | |  | |  |
| GLO-14 | | The proposed solution shall provide the ability to update the Department’s organization and individual user names (Department, branch). | |  | |  |
| GLO-15 | | The proposed solution may allow minor changes (e.g. font, color) to the layout of user screens. | |  | |  |
| GLO-16 | | The proposed solution should provide help function to assist staff in learning how to use the system, manage work flows, and use the functions and capabilities of the system. | |  | |  |
| GLO-17 | | The proposed solution shall provide the capability for authorized personnel to select and modify records (e.g. 100+ records if necessary) and make the same change to all of them. | |  | |  |
| GLO-18 | | The proposed solution may provide ready access to common productivity tools and job aids including:   Calendar   Quick reference telephone number list | |  | |  |
| GLO-19 | | The proposed solution shall edit and validate individual field values to ensure that only valid data is entered. Validation options include, but are not limited to the following:   Field type (e.g. numeric, alpha, required)   Validity (e.g. table look-up, data look up)   Relational edits (e.g. editing relationships between fields)   Field values (e.g. acceptable range) | |  | |  |
| GLO-20 | | The proposed solution shall maintain historical information in addition to the most current set of information for all records. Historical information needs to be searchable and the user needs to have the ability to “drill-down” to pertinent data. | |  | |  |
| GLO-21 | | The proposed solution shall maintain an audit trail of all changes made to data in the system. This should be readily searchable by user ID or person/entity. This shall include but is not limited to:   * The user ID of the person who made the change * The date and time of the change * The information that was changed | |  | |  |
| GLO-22 | | The proposed solution shall allow authorized individuals limited manual override capability over certain specified system transactions and require a stated reason for the override. | |  | |  |
| GLO-23 | | The proposed solution shall contain templates and automate the completion of required forms, via prefilling data on forms, from the database for both NDE users and web portal customers. | |  | |  |
| GLO-24 | | The proposed solution shall automatically generate forms, letters, memos, receipts etc. based on processing rules and timeframe criteria provided by the Department. | |  | |  |
| GLO-25 | | The proposed solution shall maintain all records, documents, logs etc. that pertain to an entity or individual as linked to the entity or individual by name or user selected identification number (e.g. enforcement, registration/licensing, exam, complaint). | |  | |  |
| GLO-26 | | The proposed solution shall provide the ability to verify valid zip codes and address. | |  | |  |
| GLO-27 | | The proposed solution shall incorporate the use of spell check for free text area fields for recording comments, notes. | |  | |  |
| GLO-28 | | The proposed solution shall be highly configurable so that established processes and data elements can be altered by non-IT authorized users. | |  | |  |
| GLO-29 | | The proposed solution shall be highly configurable so that non-IT authorized users can modify fee schedules and formulas as required by new business demands. | |  | |  |
| GLO-30 | | The proposed solution shall be capable of using the State of Nebraska relay for all email notifications. | |  | |  |
| GLO-31 | | The proposed solution shall provide the ability to store and retrieve electronic files with electronic signatures. | |  | |  |
| GLO-32 | | The solution shall allow supervisors to assign tasks, review progress, and approve completed tasks as needed. | |  | |  |
| GLO-33 | | The solution shall provide the ability to access all underlying documents that are associated with a case/matter. | |  | |  |
| GLO-34 | The proposed solution shall include a public web portal to facilitate for all types of registration, licensing application, renewals and other online services as determined during the requirements phase and compatibility with authorized payment provider to process payments by:   Providing capability over the portal   Providing the ability to attach/upload documents to the filing   Providing the ability to accept filing fee payments   Providing a checklist template to ensure completion of all requirements for each type of filing   Providing the ability to calculate fees   Providing the ability for the public to query and update the appropriate info in their record   * Providing receipt or confirmation to customer   Pertinent information collected over the public web portal concerning the filing shall automatically populate or update the solution database without manual intervention. Daily reports/alerts shall be generated for staff showing the filing information. | |  | |  | |
| GLO-35 | The solution shall be compatible with data capture software so that the solution has the ability to accept, store, and make available for reports certain data automatically extracted from OCR scanned documents. The extracted data must also be available to populate/update records in the database without manual intervention. Captured data may include, but is not limited to:   Key data from applications filed as well as associated dates and fees   Key data from third party reports   Payments receipted | |  | |  | |
| GLO-36 | As an Application is being filled out by Applicant, by section on the form, as each section is finished and <Next> is pressed at the bottom of the screen, the system must save the work completed thus far. | |  | |  | |
| GLO-37 | The certification application as completed online by an applicant, will be saved as a pdf file and tied to the applicant (individual) throughout history. | |  | |  | |
| GLO-38 | The certification application payment process will accept the following forms of payment:  1. VISA  2. MasterCard  3. ACH | |  | |  | |
| GLO-39 | The applicant may printout (and/or save) the pdf file of their certification application that was just completed online. | |  | |  | |
| GLO-40 | Visibility: Both the applicant and NDE will be able to see the status of any application as it flows through the application process. | |  | |  | |
| GLO-41 | Database: As the status of an application changes, the history remains with the individual submitting the application.  That is, not only is the current status shown, but NDE can see the entire status history of an applicant (or individual). | |  | |  | |
| GLO-42 | Visibility: The internal users can see the detail of any selected application in any given status at any time during the application process. | |  | |  | |
| GLO-43 | If the Applicant provided information is incomplete at the time of Applicant submission, the system must notify the Applicant what is missing and not accept or process the Application using a deficiency workflow. | |  | |  | |
| GLO-44 | The system must be able to determine if the Application being submitted is for an Applicant already IN the system.  If not, the Application processing continues. If so, appropriate processing of the Application must occur (such as a re-apply or renewal process, etc.). | |  | |  | |
| GLO-45 | The system must allow for the NDE Staff to enter all hardcopy Applications that have been mailed. | |  | |  | |
| GLO-46 | While the system can determine if the Applicant has provided all the requested information (payment, passport photo, Approved Government photo ID, etc.) the Application and all associated documentation that was submitted, needs to be reviewed by a human before the Application processing can continue.  The system must, however, place the Application in a (FIFO or NDE defined queuing theory) queue for the ‘Application Reviewer’ (applicable NDE Internal User based on role definitions) to review the application and ‘release’ the Application to continue the Application process. | |  | |  | |
| GLO-47 | If the ‘Application Reviewer’ determines that the Application is incomplete or missing required documentation (for example, the uploaded Passport photo is not clear or an incorrect document), then the system must allow the ‘Application Reviewer’ to email the Applicant an email (based on a template maintained in the system by the NDE system Administrator) noting what is missing from the Application.  Incomplete Applications are then noted as such in the system and moved to another queue for maintenance (later processing). | |  | |  | |
| GLO-48 | Once an Application has been ‘released’ for processing, the system must be able to:  1. Email the Applicant a ‘Welcome’ email to the Applicant (based on a template maintained in the system by the NDE system Administrator)  2. Email the applicable Local Government Agencies based on the Applicant’s residence if required | |  | |  | |
| GLO-49 | The system must track all processing steps for each Application, noting with a Date & Time stamp as each step is Entered and Exited. | |  | |  | |
| GLO-50 | The system must retain all emails sent related to an Applicant or Licensee. These emails should be listed in summary format in reverse chronological order, and may be opened to view email details. | |  | |  | |
| GLO-51 | Livescan Report Queue: As DOJ/FBI Livescan Report emails are received, the system should attempt to electronically match those reports with Applications in the system waiting for Livescan Reports. While the system can suggest a match, the process to actually connect a Livescan Report to an Applicant requires human intervention. When matched, the Application will continue in the Application Processing. | |  | |  | |
| GLO-52 | School Transcript Queue: As School Student Transcripts emails are received, the system attempts to electronically match those reports with Applications in the system waiting for Student Transcripts. While the system can suggest a match, the process to actually connect a Student Transcript to an Applicant requires human intervention   When matched, the Application will continue in the Application Processing. | |  | |  | |
| GLO-53 | Educational Standards Review Queue: If Educational Requirements are met, the Application will continue in the Application Processing.  If the Educational Requirements are not met, the system will email the Applicant of the deficiency (based on a template maintained in the system by the NDE system Administrator) and the Application will remain in the Educational Verification queue. | |  | |  | |
| GLO-54 | The system must provide the capability for the applicable NDE Internal User based on role definitions to identify (display and print report) which Applications are still waiting for Live scan Reports and/or Student Transcripts based on a period of time that will allow for additional follow-up (via emails to Applicant, or contact with schools or Local Governments, etc.). | |  | |  | |
| GLO-55 | Legal Support Queue: The system must allow the applicable Legal Internal User based on role definitions the ability to perform an initial and detailed review of all information associated with each Applicant or Licensee in the Legal Support Queue. | |  | |  | |
| GLO-56 | The system must retain a copy (in PDF format) of all letters printed by the system for mailing to Applicant or Licensee. | |  | |  | |
| GLO-57 | Applicant ‘Registration’--During the registration process, the Applicant must provide the information as per the requirements of NDE. | |  | |  | |
| GLO-58 | Applicant ‘Registration’--the system must verify that no other user in the system (database) has that same information required for registration. | |  | |  | |
| GLO-59 | If the ‘Registration’ finds that this user does not already exist, the system must use a unique ID# that is assigned to that User from NDE. | |  | |  | |
| GLO-60 | Applicant ‘Registration’--the final step in the new user ‘Registration’ process must send the user an email to verify the user entered email address.  Without this verification, the user cannot complete the new user ‘Registration’ process.  This can either be where by responding to the email verification is established or a code is provided in the email that must be entered on the new user ‘Registration’ page before it can be successfully completed. | |  | |  | |
| GLO-61 | When the user presses the <Submit> button for the Application, a final check of all fields is performed.  If ALL required fields of the Application have been filled out, processing continues.  If NOT, then the user will be informed of the error and returned to that section of the Application form that needs to be addressed. | |  | |  | |
| GLO-62 | Payment Verification Routine: If the payment was NOT made online, the Application will remain in this Stage while monitored for payment.  When the payment (check or money order) is received, it is matched to the Application and the payment is processed. | |  | |  | |
| GLO-63 | Payment Verification Routine: If the system remains in this stage longer than 30 days, the system must:  1. Send an email to the Applicant reminding them that the application processing cannot continue until they complete payment  2. Reset the 30-day clock | |  | |  | |
| GLO-64 | Application Verification Routine: The system must now allow for human intervention through workflow by:  1. Presenting a list of Applications at this stage awaiting review and release  2. The order of Applications in this list with be determined by NDE business rules | |  | |  | |
| GLO-65 | Application Verification Routine: The system must allow for human Intervention to:  1. Perform an initial review of the Application  2. Email the Applicant regarding anything that is missing in the Application or attached information  3. Release the Application for continued processing when review is complete and Application and attached information is complete and ready for processing | |  | |  | |
| GLO-66 | Application Verification Routine: The system must monitor how long an Application is in this Stage. Applications in this stage longer than 30 days will cause the system to:  1. ‘Ping’ the Applicant with an email reminding them that the Application Processing is waiting on (something) from them  2. Reset the 30-day timer | |  | |  | |
| GLO-67 | Application Verification Routine: The system must monitor how long an Application is in this Stage. Applications in this stage longer than 1 year will cause the system to:  1. Send an email to the Applicant informing them that they have not been able to process their Application for one year because…  2. ‘Archive’ the Application from active system (however the information remains connected to that Applicant in the system)  3. End the Application processing for that Application | |  | |  | |
| GLO-68 | Background Verification Routine: The system must allow for human intervention | |  | |  | |
| GLO-69 | Background Verification Routine: If information is received from the Applicant’s Local Government, human intervention will:  1. Manually review the information provided  2. Flag the Application for ‘Review’ | |  | |  | |
| GLO-70 | Complaints' can be filed online. When Complainant clicks on link to file a complaint, the system must present the complainant with online complaint form. | |  | |  | |
| GLO-71 | Communications: The system must support the need for NDE staff to electronically communicate with an Applicant or Licensee in such a manner as that information (email or otherwise) is captured in the system and associated with that Applicant or Licensee ID #. | |  | |  | |
| GLO-72 | Communications: The system must support the need for Applicant or Licensee to reply to a NDE electronic communication and that is also captured IN the system and associated with that Applicant or Licensee ID #. | |  | |  | |
| GLO-73 | Application Submission: When the user presses the <Confirm> (or <OK>) button for the above requirement, the user is then asked to confirm that they are ‘signing’ the Application. This may be done by asking the Applicant to type in their name and then confirm that this is their signature. | |  | |  | |
| GLO-74 | At the time the user completes the ‘signature’ requirement above; the system must Date and Time stamp the application and call this the ‘Application Received Date’. | |  | |  | |
| GLO-75 | When NDE is entering the Application online (for Applicants who opt to print out and mail in their Application), the system must be able to identify that Application as having been filled out by NDE (vs. the Applicant).  This notation must follow the Application forever in the system. | |  | |  | |
| GLO-76 | The system must allow for the time specified as waiting for a response from Authorized Government Officials before automatically continuing processing.  These values are controlled by the NDE. | |  | |  | |
| GLO-77 | The system must provide automatic address validation when entered by the Applicant in the online Application (form).  Amazon.com was used as an example of it prompting upon an invalid address found of, “Did you mean…?” | |  | |  | |
| GLO-78 | If at any time during the Application process, if the Application has been in an uncompleted state exactly one year after the “Application Received Date”, then the system must:  1. Send an email to the Applicant saying that the Application has not been successfully completed within a year and is therefore going to be purged  2. Follow the purge process to remove the Application from the processing cycle. | |  | |  | |
| GLO-79 | Trigger event: During the Payment verification processing, if payment has not been successfully completed within 30 days, the system must:  1. Email the Applicant and remind them that NDE is still waiting for payment before processing of their Application can continue  2. Reset the 30-day timer | |  | |  | |
| GLO-80 | Trigger event: During the Application Processing, at any point, if the system is waiting for something from the Applicant and has not received that within 30 days, the system must:  1. Email the Applicant and remind them that NDE is still waiting for (whatever it is)  2. Reset the 30-day timer | |  | |  | |
| GLO-81 | The system must allow for legal to ‘add a condition’ to approval that may affect the certification (such as additional requirements, processing, Application notifications, etc.) | |  | |  | |
| GLO-82 | All State fields in Addresses must default to 'NE'. | |  | |  | |
| GLO-83 | The system must calculate all amount due fields. | |  | |  | |
| GLO-84 | The system must validate all date fields. | |  | |  | |
| GLO-85 | The system must validate all entered phone numbers (format only) | |  | |  | |
| GLO-86 | The system must accept scanned images as long as it meets the size and format requirements. | |  | |  | |
| GLO-87 | The system must provide 'hover help' (i.e., help is available when hovering over an item). | |  | |  | |
| GLO-88 | The system must allow any printing for internal NDE users in 'printer-friendly' format. | |  | |  | |
| GLO-89 | The system must notify NDE that a 'complaint' has been logged against an Individual. | |  | |  | |
| GLO-90 | The system must allow NDE staff to manually verify the subject of ‘complaint’ and associate it with the Individual (Applicant or Licensee). | |  | |  | |
| GLO-91 | If a 'complaint' is not 'Actionable', the system must:  1. Email the Complainant to inform them that the 'complaint' is non-actionable  2. Note the 'complaint' as non-actionable in the system and move the record and all associated notes into the non-actionable complaint file (table in the database). | |  | |  | |  |  |
| GLO-92 | All “trigger events” are defined and managed by the NDE staff (i.e., the event can be defined, time period criteria added, as well as the email template to be used). | |  | |  | |  |  |
| GLO-93 | Email templates for all email events are maintained in the system by the NDE staff. | |  | |  | |  |  |
| GLO-94 | The system must allow NDE to search the system (database) for an individual based on different criteria. The criteria will be determined during the requirements phase. | |  | |  | |  |  |
| GLO-95 | The system must automatically do a deep search on submission of Application in the background. This search will query the database on different fields to find if any match exists with any existing record in the system. | |  | |  | |  |  |
| GLO-96 | SSN display—only displaying the last 4-digits of SSN.  ss | |  | |  | |  |  |
| GLO-97 | External users who are not active for a specific period of time (managed by the NDE on the Configuration page) will be logged off.  When the user returns and clicks their mouse, they will be presented with the system login page. | |  | |  | |  |  |
| GLO-98 | The system must support ‘Wildcard’ searches in any field (eg. If the letters ‘Li’ are entered in the Last Name field, ALL Last Names that begin with ‘Li’ are selected--such as ‘Lim’, ‘Lincoln’, ‘Link’, etc). | |  | |  | |  |  |
| GLO-99 | The system needs to require that when a photo is “n” years old, the Applicant will be prompted to provide a NEW photo the next time they renew their license. The value “n” should be configurable in the system. | |  | |  | |  |  |
| GLO-100 | The NDE requires the ability to ‘override’ all emails automatically generated by the system to a default ‘override email’ account. | |  | |  | |  |  |
| GLO-101 | The system needs a ‘Message and Templates’ option where the NDE can manage the default messages and templates for use in the system. | |  | |  | |  |  |
| GLO-102 | The system needs a ‘Fees’ option where all Fees identified in the system is managed. This includes:  1. Fee Name  2. Fee Description  3. Fee Amount  4. Late Fee  5. Action (provide the ability to provide more detail associated with this) | |  | |  | |  |  |
| GLO-103 | The system needs a ‘User Management’ option where the NDE is able to manage internal NDE users and query all User IDs (based on role-based security) in the system. | |  | |  | |  |  |
| GLO-104 | The NDE would have the ability to ‘lock out’ a specific User ID or ALL users external and internal to the NDE. | |  | |  | |  |  |
| GLO-105 | The password field on the logon page must inform the user if the Caps Lock is turned ON. | |  | |  | |  |  |
| GLO-106 | The login page should include the ‘forgot password’ link. | |  | |  | |  |  |
| GLO-107 | The login page also provides a link for first time users to create a new User id. | |  | |  | |  |  |
| GLO-108 | The login page can also provide an alternative page that can be displayed if the system is down. | |  | |  | |  |  |
| GLO-109 | The list of license status and associated colors can be controlled by the NDE. | |  | |  | |  |  |
| GLO-110 | The Applicant or Licensee page will display summary and detailed information about the Applicant or Licensee selected in the Applicant or Licensee pane.  Information displayed on the Applicant and Licensee will be approved by NDE. | |  | |  | |  |  |
| GLO-111 | The ‘Summary Pane’ will also provide a scrolling list of license status (reverse chronological order—newest on top). | |  | |  | |  |  |
| GLO-112 | The ‘Summary Pane’ will also provide a scrolling list of tasks (in reverse chronological order—newest on top). | |  | |  | |  |  |
| GLO-113 | The ‘Summary Pane’ will also provide a scrolling list of payments/unpaid invoices (in reverse chronological order—newest on top). | |  | |  | |  |  |
| GLO-114 | The ‘Application’ Tab in the Detail Pane displays the current application and status as well as ALL previous applications and statuses associated with this Applicant.  This information will be displayed in a summary format.  Additional detail about an application can be displayed by clicking on the application (or a Detail button to the right of the application). | |  | |  | |  |  |
| GLO-115 | The ‘License’ Tab in the Detail Pane displays the current license and status (if applicable) as well as ALL previous licenses and statuses (if applicable) associated with this Applicant.  This information will be displayed in a summary format.  Additional detail about a license can be displayed by clicking on the license (or a Detail button to the right of the certification). | |  | |  | |  |  |
| GLO-116 | The ‘Education’ Tab in the Detail Pane displays the current Education as well as ALL previous Education associated with this Applicant or Licensee.  This information will be displayed in a summary format.  Additional detail about Education can be displayed by clicking on the Education (or a Detail button to the right of the Education). | |  | |  | |  |  |
| GLO-117 | The ‘Notes’ Tab in the Detail Pane all notes and communication associated with this Applicant or Licensee.  This is information entered by NDE or automatically generated by the system (including emails to and from).  This information will be displayed in a summary format.  Additional detail about an individual note can be displayed by clicking on the note (or a Detail button to the right of the note). | |  | |  | |  |  |
| GLO-118 | The ‘Tasks’ Tab in the Detail Pane all tasks associated with this Applicant.  This is information automatically generated by the system.  This information will be displayed in a summary format.  Additional detail about an individual task can be displayed by clicking on the task (or a Detail button to the right of the task). | |  | |  | |  |  |
| GLO-119 | The ‘Documents’ Tab in the Detail Pane all documents associated with this Applicant or Licensee.  These documents have been uploaded by the Applicant or by Licensee or by NDE.  These documents (names) will be displayed in a summary format.  The content of a document can be displayed by clicking on it (or a Detail button to the right of it). | |  | |  | |  |  |
| GLO-120 | The ‘Financials’ Tab in the Detail Pane all financial activity associated with this Applicant or Licensee.  This is information automatically tracked by the system.  This information will be displayed in a summary format.  Additional detail about an individual financial activity can be displayed by clicking on the financial activity (or a Detail button to the right of it). | |  | |  | |  |  |
| GLO-121 | Every step in the application process or renewal process or other online services must have a unique status number and name (description) to describe that step. | |  | |  | |  |  |
| GLO-122 | The solution shall allow staff to enter information concerning application and renewal filed directly with the Department including:   Key data from the application   Uploading documents associated with the filing   Receipting of fees  Such information shall be available for reports. | |  | |  | |  |  |
| GLO-123 | The solution shall have the ability to upload documents associated with the licensing process and attach them to licensee’s record in the database. | |  | |  | |  |  |
| GLO-124 | The solution shall provide reminders to staff, via user maintainable due date ticklers, of the approach of statutory processing/approval deadlines. | |  | |  | |  |  |
| GLO-125 | The solution shall have the ability to automatically generate license certificates after an approval status is entered. | |  | |  | |  |  |
| GLO-126 | The solution shall provide the ability to categorize applications and renewals by type. | |  | |  | |  |  |
| GLO-127 | System should provide ability to generate canned reports with filter and sorting capability and ability to export in pdf and excel options. For the purpose of cost estimate, vendor should plan for 10 canned reports. | |  | |  | |  |  |
| GLO-128 | Ability for some of the canned reports to be published on NDE websites and refreshed automatically at a predefined frequency. | |  | |  | |  |  |
| GLO-129 | Adhoc reporting ability that allows nontechnical users to query data using the Licensing System User Interface and not have to login to the database with ability to export to excel. The adhoc reporting ability should allow security parameters to be set from the System Administration menu for determining which database objects end-users can see and query from System Administration menu for determining which database objects end-users can see and query from | |  | |  | |  |  |

**System Administration (Security, User Login, Roles and Profiles)**

These requirements concern the process by which the proposed solution will be administered in terms of adding, managing and deleting users and maintaining user roles.

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| --- | --- | --- | --- |
| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| SYS-1 | The proposed solution shall provide the ability to perform system administration functions such as reference table maintenance and adding/removing users from the system. |  |  |
| SYS-2 | The proposed solution shall provide authorized individuals with access to data and functions in the proposed solution by authorized user’s role and profile. |  |  |
| SYS-3 | The proposed solution shall have self-service login password reset capabilities for users, applicants, licensee and registrants. |  |  |
| SYS-4 | The proposed solution shall provide screens customized by job function or task. These screens present the information, layout, options and tools applicable to the particular job function or task, and should be the same for all users performing that function or task. |  |  |
| SYS-5 | The proposed solution shall accommodate the need for management to assign individual users to a single or multiple roles and perform multiple tasks. They need to allow access to the screens that best match the role they are filling or task they are performing at any given time. |  |  |
| SYS-6 | The proposed solution shall identify whether the solution supports integration with external authentication sources like LDAP, AD, SAML, etc. |  |  |
| SYS-7 | Authorized Government Officials can view limited information about an Individual. |  |  |
| SYS-8 | Allow an Applicant or Licensee to view only their associated information. |  |  |
| SYS-9 | Allow an Applicant or Licensee to only submit an application in their own name. |  |  |
| SYS-10 | Allow only key personnel designated by NDE to manage security protocols. |  |  |
| SYS-11 | The system must provide the capability to report on:  1. system User Access  2. Inactive User Accounts (NDE to determine period of inactivity and to be managed by NDE system Administrator) |  |  |
| SYS-12 | System must provide a built-in Audit Trail for all user activity in the system. |  |  |
| SYS-13 | Applicant ‘Registration’--the system must redirect the Applicant ‘Registrant’ to the ‘forgot password’ page if a user already exists with the same DOB and SSN in the system. |  |  |
| SYS-14 | Applicant ‘Registration’--the system new user ‘Registration’ process must employ the ‘Captcha Verification’ (or similar) feature to ensure that no robots are attempting to gain access to the system. |  |  |
| SYS-15 | The system needs to employ a timeout feature that will drop a user connection that has had no activity after a period of time. |  |  |
| SYS-16 | The system design requires adequate safeguards to protect information contained in the system from outside, unwanted and unauthorized access. |  |  |
| SYS-17 | Requires a first-time user logging into the system to create a unique User ID and Password. |  |  |
| SYS-18 | A returning user must log into the system using a unique User ID and Password. |  |  |
| SYS-19 | For all changes--Track User ID, Date & Time and nature of change |  |  |
| SYS-20 | Do not allow duplicate user names. |  |  |
| SYS-21 | The system will not allow outside user to be logged in more than once at any given point in time. |  |  |
| SYS-22 | Lock out a user after a third failed attempt to log in. |  |  |
| SYS-23 | The system must provide Two-Step Login Authentication—if user attempts to log into system using a different device from last access, they are prompted to provide an ‘access code’ (which can only be emailed or text to a user pre-defined email address or cell phone number) as well as the correct password (same rule as above is invoked on invalid user login). |  |  |
| SYS-24 | Each User Account must select a total of three security questions and corresponding answers.  That is, the NDE will determine a list of security questions (to be maintained in system by the NDE staff).  At the time of user account creation, the user is presented with this list of questions three times.  Each time, the user must pick a security question and provide an answer.  This information is stored with the user account for later user login verification. |  |  |
| SYS-25 | The system must provide the ability for users to update their security questions and answers at any time after a successful login. |  |  |
| SYS-26 | The system needs to provide all system users with the ability to change their own passwords.  The Change Password feature will prompt for current password, as well as new password and validate new password.  If the old password matches what is stored in the system for this User id, and the new password and valid new password match AND meet all criteria for passwords, then the User id’s password will be updated. |  |  |
| SYS-27 | The proposed solution shall support user authentication and authorization per Nebraska State security policy. |  |  |
| SYS-28 | The proposed solution shall include administration roles, such as security administrator, security analyst, and delegated administrator. |  |  |
| SYS-29 | The secure communications portal will allow Authorized Government Officials to upload (multiple) sensitive documents and comments (note). |  |  |
| SYS-30 | The secure communications portal will allow Authorized Government Officials to sign data security agreement electronically. |  |  |
| SYS-31 | The system shall be managed on a secure website.  That is, certificates will be used and the site will be an ‘https’ site, thus using 256-bit (or higher) encryption for all communications within the system. |  |  |
| SYS-32 | The secure communication portal will allow acceptance of data security agreement online. |  |  |

**Workflow Management**

These requirements concern the process by which the proposed solution will identify cases and matters and organize this information to facilitate working the case or matter.

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| --- | --- | --- | --- |
| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| WFM-1 | The proposed solution shall provide configurable workflow functionality for all business processes and functional areas including, but not limited to: registration, application, licensing, examinations, financial management, public contact, document management, and reporting. |  |  |
| WFM-2 | The proposed solution shall provide the ability to establish and maintain multiple workflows for each business process. |  |  |
| WFM-3 | The proposed solution shall support establishment of user defined rules based on workflows for any system event or transaction. |  |  |
| WFM-4 | The proposed solution shall allow for copying/extending preconfigured workflows to meeting specific State business requirements. |  |  |
| WFM-5 | The proposed solution shall provide tools for a system administrator to modify preconfigured workflows or develop new workflows. |  |  |
| WFM-6 | The proposed solution shall allow a document to follow one of multiple approval paths based on business rules. |  |  |
| WFM-7 | The proposed solution shall support multiple levels of approvals for transactions based on profile security and other user-defined criteria. |  |  |
| WFM-8 | The proposed solution shall allow users to attach notes to content items within the workflow and store these notes with User ID and date/time stamp. |  |  |
| WFM-9 | The proposed solution shall allow workflows to be designated as either “informational” or “action required” (such as approval). |  |  |
| WFM-10 | The proposed solution shall ensure a transaction is not finalized until all required approval workflows are complete. |  |  |
| WFM-11 | The proposed solution shall provide various intake workflows denoting the real-time intake process steps and whether each step has been completed. |  |  |
| WFM-12 | The proposed solution shall allow a data record to be assigned to staff in different business units concurrently. |  |  |
| WFM-13 | The proposed solution shall identify potential duplicate records based on business rules. |  |  |
| WFM-14 | The proposed solution shall allow for assignment of records to a specific unit and/or staff member (caseload assignment)  throughout the process based on, but not limited to:   Priority (system-wide or unit specific)   Staff skill set   Staff classification |  |  |
| WFM-15 | The proposed solution shall provide the ability for managers to view, monitor and reassign work to other staff (group/unit or individual) and the ability to view the process actions. |  |  |
| WFM-16 | The proposed solution shall notify staff automatically when a new item/document/record to review has been received based on business rules. |  |  |
| WFM-17 | The proposed solution shall refresh workflow queues automatically. |  |  |
| WFM-18 | The proposed solution shall issue non-disruptive alerts and escalation notifications for impending deadlines for all active records. |  |  |
| WFM-19 | The proposed solution shall be able to immediately forward a record to the next business function when the current business function is completed and send notification to the receiving business unit. |  |  |
| WFM-20 | The proposed solution shall provide the ability to review and approve portions of the record before the record is released to the next business function. |  |  |
| WFM-21 | The proposed solution shall provide email notifications to users. |  |  |
| WFM-22 | The proposed solution shall provide the ability to route scanned and/or uploaded documents for processing and/or review. |  |  |
| WFM-23 | The proposed solution shall require a user to enter data in all required fields for a business process or transaction before allowing the user to exit the screen. |  |  |

**Business Rules Management**

These requirements are related to the maintenance of the business rules functionality.

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| --- | --- | --- | --- |
| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| BRM-1 | The proposed solution shall include business rules management functionality that should be configurable. |  |  |
| BRM-2 | The business rules management shall support the rules needed to comply with all applicable laws and Department policies and operational procedures, and provide the flexibility to adapt to changes in any of these areas. |  |  |
| BR-M3 | The business rules management shall allow for changes to mandated timeframes, based on a state of emergency or management approved imperative. |  |  |

**Enforcement**

The requirements in this category address aspects of enforcement through complaint processing, investigations, financial analysis, and administrative and civil cases.

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| --- | --- | --- | --- |
| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| ENF-1 | The solution shall house tables that can be customized for the entry of financial and related data for each enforcement case. |  |  |
| ENF-2 | The solution shall incorporate accounting tools to calculate deposits and withdrawals by account, cash flow, and summary information. |  |  |
| ENF-3 | The solution shall provide the ability to assign a code to each financial transaction being reviewed based on a list of codes developed by the Department’s financial manager. |  |  |
| ENF-4 | The solution shall provide standardized and ad hoc reporting capability on the financial and related transactions analyzed by the enforcement team. |  |  |
| ENF-5 | The solution shall provide the ability to maintain a case log of case deadlines and events that provide links to underlying documents, as applicable. The solution shall push out email reminders of key dates and deadlines. |  |  |
| ENF-6 | The solution shall have the ability to allow supervisors to assign a case to an enforcement team comprised of various team roles (e.g. investigator, license or administration team member). |  |  |
| ENF-7 | The solution shall automatically assign a unique case number when a user opens a new case. |  |  |
| ENF-8 | The solution shall facilitate the creation of an evidence log for each case by allowing the user to select uploaded documents or other evidence for inclusion in the log. |  |  |
| ENF-9 | The solution must provide a method to allow the investigator to see a list of their case assignments and upcoming due dates. |  |  |
| ENF-10 | The solution shall allow staff the ability to upload one or more documents related to a complaint/case. |  |  |
| ENF-11 | The solution shall allow the ability to have a one-to-many or many- to-one association of complaints to cases. |  |  |
| ENF-12 | The solution shall automatically calculate the proportionate amount of restitution due each complainant based on the total restitution awarded or other criteria specified by business rules. |  |  |
| ENF-13 | The solution shall enable the user to change the status of a complaint (e.g. open or closed) within the solution. |  |  |
| ENF-14 | The solution shall enable tracking of steps in issuance of a subpoena, calendaring response dates and extensions, generating reports of subpoena activity and provide links to the underlying copies of subpoena documents, affidavits of service and other related documents. |  |  |
| ENF-15 | The solution shall have the ability to “attach” OCR scanned documents to a particular enforcement case and to automatically generate a document inventory log with links to the underlying documents. Authorized users shall have the ability to maintain and modify the document inventory log which shall provide viewing rights for the assigned investigator. |  |  |
| ENF-16 | The solution shall provide a way to mark certain documents related to a case or matter as confidential. Access to documents shall be granted based upon the user role assigned. |  |  |
| ENF-17 | The solution shall enable the user to link/associate related cases (one complaint filed against multiple parties). |  |  |

**Compliance**

The requirements in this category address the collection of restitution, fines, penalties and other charges after an order or judgment is entered against a person or entity following an enforcement action.

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| COM-1 | The solution shall have the ability to perform complex  mathematical calculations such as:   Calculation of interest from a certain date   Recalculation of balance due and interest after respondent makes a payment; based on that information generate a quarterly report of respondents still owing funds and the then current balance due   Calculation of respondent payoff figure   Calculate a running total of payments received from respondents   Calculate a running total of amounts disbursed to complainants and the number of complainants to whom disbursed   Accumulating payments received from respondents and calculating the proportionate amounts of complainant distributions according to a Department-specified formula |  |  |
| COM-2 | The solution shall have the ability to generate a quarterly and an annual summary report showing total penalties collected, total restitution collected, and total amount collected from receivers. |  |  |
| COM-3 | The solution shall have the ability to set and modify collection status (e.g. paying, bankruptcy, settled, paid in full, closed, default). |  |  |

**Examinations**

The requirements in this category address the process of conducting examinations of applicant applying for licenses or certifications.

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| EXM-1 | The solution shall provide a Department-customizable form that can be completed electronically by staff to input key information about an applicant training and exam requirement status. |  |  |
| EXM-2 | The solution shall provide a Department-customizable form that can be completed electronically by staff to input key information about an applicant test results. |  |  |
| EXM-3 | The solution shall allow users to enter an “examination completed” date and select from a menu of post-examination follow-up activities (e.g. close, obtain additional information, issue deficiency letter, recommend referral to enforcement) that can be toggled. |  |  |
| EXM-4 | The solution shall generate an examination module from a template, pre-filled with examinee’s name, address and registration or certification number. |  |  |
| EXM-5 | The solution shall generate reports of applicant with user designated parameters. |  |  |
| EXM-6 | The solution should be able to update an applicant record for a name change and cross reference with former name. |  |  |
| EXM-7 | The solution shall provide the ability to generate a report that allows for the entry of parameters to define and refine a report concerning historical exam information. |  |  |
| EXM-8 | The solution shall allow for entry of information concerning the status of an examination (e.g. open/closed/deficiency/referred to enforcement) and corresponding dates and make such information available for ad hoc reports. |  |  |

**Financial Management**

The requirements in this category address receipting of funds received and distributed, calculation of fees, interest, and penalties, reconciliation of funds allocated to different accounts, and reporting of accounting processes.

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| FIM-1 | The solution shall receipt fees received by the Department and update the filer’s record in the solution database. |  |  |
| FIM-2 | The solution shall include an audit trail for each step in processing fees received. |  |  |
| FIM-3 | The solution shall create an internal invoice of filing fees owed depending upon the type of filing received; it shall enable editing of that invoice due to refunds owed, data entry errors, or changes to the proportionate amount of fees to be deposited into the State accounts. |  |  |
| FIM-4 | The solution shall include functionality which will enable the user to leave an internal invoice “open” if less than the entire fee is paid and “close” the invoice when the balance due is paid. |  |  |
| FIM-5 | The solution shall allow users to change and recalculate the renewal date. |  |  |
| FIM-6 | The solution shall include functionality that enables a pending action item and sends a reminder to staff before the action item is due. |  |  |
| FIM-7 | The solution shall provide safeguard messages for certain types of transactions. |  |  |
| FIM-8 | The solution, through the use of an API, shall connect with an authorized third party to accept electronic payment of the filing fees. The filing and payment information shall update the solution’s database. |  |  |
| FIM-9 | The solution shall automatically calculate the percentage of each fee that will be allocated to one or more of the State Accounts depending on the code assigned to the filing. Such information shall be available for standardized/ad hoc reports. |  |  |
| FIM-10 | The solution shall enable the user to manually create invoices for receipted monies and manually designate into which state fund or funds the monies will be placed. |  |  |

**Public Contact**

The requirements in this category address the Department’s interactions with the public through incoming calls and emails, public records requests, and no-action requests.

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| PUC-1 | The solution shall store a template of the Public Records Request form and checklist of requirements for public records request that can be sent to the requestor. The solution shall track the public records request and all correspondence/responses. The solution shall enable staff to generate an inventory log of responsive documents and a privilege log with links to electronic copies of those of those logs. The solution shall include templates of transmittal letters and correspondence with the requestor’s name and address pre-populated. |  |  |

**Document Management**

The requirements in this category address the retention and archiving of records as well as generation of templates.

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| DOM-1 | The solution shall have the ability to track the location of hard copy files and documents in the office, at off-site storage, or sent to archive. |  |  |
| DOM-2 | The solution shall have the ability to generate templates to be used in work flows throughout the Department. Such templates shall be pre-populated with name and address, where possible. |  |  |

**Technical Requirements**

Technical requirements include regulation, hardware/software, database, and housing of solution, network support, workstation software, user interface, error and exception handling, interfaces, system security management, availability, performance, capacity, retention and archive, and audit requirements.

**Regulations**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| TER-1 | The proposed solution shall conform with the Nebraska Website Security and Standard Policy, which can be found at the following link:  <http://www.nitc.nebraska.gov/standards/index.html> |  |  |

**Hardware/Software**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| HAS-1 | Any hardware required to be onsite shall comply with  Department Information Technology Standards,  Nebraska Dept. of Administration. |  |  |
| HAS-2 | All hardware and software to be implemented shall be scalable, available, and meet the performance constraints as defined in  other sections of the technical constraints. |  |  |

**Database**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| DAB-1 | The proposed solution shall interface with other NDE internal SQL databases for exchanging data. |  |  |
| DAB-2 | The proposed solution shall comply with the Nebraska Security and Standard Policy: <http://www.nitc.nebraska.gov/standards/index.html> Department |  |  |

**Network Support**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| NES-1 | The proposed solution shall use Secure Sockets Layers (SSL) protocol for all network communications. |  |  |

**Workstation Software**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| WSS-1 | The proposed solution shall support a browser based interface  (Internet Explorer V8 or above, current versions of Google Chrome, Firefox and Safari) supported by the NDE IT Department running on the current version of Microsoft Windows operating system as required by the Department. |  |  |

**User Interface**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| USI-1 | The proposed solution shall provide a user-friendly color Graphical  User Interface (GUI) for user presentation. The GUI shall be consistent throughout the solution. Examples include, but are not  limited to:   * Standard naming convention * Button navigation * Drop down lists * Auto fill |  |  |

**Error and Exception Handling**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| EEH-1 | The proposed solution shall provide logging, reporting and accessing errors and exceptions. |  |  |

**System Tools**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| SYT-1 | The proposed solution shall comply with NIEM-Justice Standards for information exchange, where possible. |  |  |
| SYT-2 | The proposed solution shall be able to support industry standard bar code reading and production for forms and other items to minimize data entry requirements. |  |  |

**System Security Management**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| SSM-1 | The proposed solution shall support user authentication and authorization per Nebraska State security policy. |  |  |
| SSM-2 | The proposed solution shall include administration roles, such as security administrator, security analyst, and delegated administrator. |  |  |
| SSM-3 | The secure communications portal will allow Authorized Government Officials to upload (multiple) sensitive documents and comments (note). |  |  |
| SSM-4 | The system shall be managed on a secure website.  That is, certificates will be used and the site will be an ‘https’ site, thus using 256-bit (or higher) encryption for all communications within the system. |  |  |
| SSM-5 | The Contractor shall identify Personally Identifiable Information (“PII”) that is contained within the Solution and ensure it is protected according to State of Nebraska and federal requirements. |  |  |

**Availability**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| AVL-1 | The proposed internal solution shall be available no less than  99.9% of scheduled uptime in any calendar month. |  |  |
| AVL-2 | The proposed solution shall have no scheduled downtime from  6am to 9pm daily, seven days a week. |  |  |
| AVL-3 | The proposed web portal solution shall be available no less than  99% of scheduled uptime in any calendar month for authentication and query, and 99% for fee payments. |  |  |
| AVL-4 | Routine maintenance shall be pre-scheduled by providing no less than one weeks’ notice and appropriate notice shall be posted on the website. |  |  |

**Performance**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| PRF-1 | The contractor shall perform real-time system monitoring, providing monthly reports that detail response times, system use and capacity, concurrent users, and system errors. |  |  |

**Capacity**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| CAP-1 | The proposed solution shall support the caseload and user base of 250 to 300 users at one time. |  |  |
| CAP-2 | The proposed solution shall support an annual workload growth rate of 35% over the next 5 years. |  |  |

**Retention and Archive**

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| **Req#** | **Description** | **Response**  **Code** | **Explanation** |
| RAA-1 | The proposed solution shall distinguish between active and inactive cases and provide the ability to change the case from active status to inactive status and from inactive status to active status. |  |  |
| RAA-2 | The proposed solution shall not allow inactive cases to deteriorate the performance of searching and reporting on active cases. |  |  |
| RAA-3 | The proposed solution must store archived data and make it accessible online to users within a Department-specified period of time. |  |  |

**Services and Deliverables**

This exhibit sets forth detailed requirements for vendor services and deliverables that apply to the entire product life cycle. This must be completed by the vendor and included in the proposal response package. The vendor should enter one of the response codes described below next to each requirement.

**Offeror Response Codes**

|  |  |
| --- | --- |
| **A** | **Agrees** |
| **NA** | **Not Agree** |

**1. Project Initiation and Management**

The following section provides a description of the Contractor deliverables required to plan and execute the activities identified in this RFP via project management.

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| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| PIM-1 | Contractor shall assign a project manager for the life of the project who will maintain the project deliverables and schedule (start date, duration, end date) and ensure timely close-out of the project. |  |  |
| PIM-2 | Contractor shall develop, deliver, and maintain a software development plan, including # of assigned resources, a project plan with work tasks, milestones and deliverables. This shall be called the baseline schedule. This schedule must include software requirements gathering, configuration/development, testing, training and implementation. The required data conversion must be included. |  |  |
| PIM-3 | Contractor shall plan and lead project kick-off activities which include a project kick-off meeting within 10 business days of contract execution. The Contractor shall provide an overview of project tasks and project schedule. Within 5 business days of the kick-off meeting, the Contractor shall provide an initial project plan. |  |  |
| PIM-4 | The Master Work Plan and WBS must be created and maintained in MS Project or similar program in a version approved by the Department. The updates must occur no less than on a weekly basis. Contractor shall develop and maintain a Gantt chart, or similar project management tool, showing the following:   Planned and actual start and end dates for tasks, percentage complete and critical path activities   Summary of work completed during previous week and results achieved   Summary of proposed tasks and deliverables for upcoming week   Contractor’s analysis of critical issues, including schedule  slippage |  |  |
| PIM-5 | Project success indicators must be included and agreed to by the  Department. |  |  |
| PIM-6 | All changes to the baseline schedule initiated in this activity shall require Department approval. Performance to schedule must be reported weekly to the Department. |  |  |
| PIM-7 | Due dates in the Master Work Plan shall not be updated without  mutual agreement between Contractor and the Department Project  Manager to reflect the accurate status of the project |  |  |
| PIM-8 | Project risks, issues and status are to be communicated to the Department on a agreed upon frequency. Status must include work completed; work to be performed in the upcoming week. Contractor shall attend status meetings or conference calls on a regular basis. |  |  |

**2. Requirements Definition**

This section describes Contractor’s responsibilities to define requirements prior to designing, developing or configuring the Solution.

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| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| RED-1 | The Contractor shall work with Department personnel to review the business, technical requirements stated in Attachment X, and generate a set of desired requirements and business rules for use in the system. |  |  |
| RED-2 | The requirements documents shall be prioritized and signed off on by the Department before development work begins. The approved document shall serve as the baseline. The requirements template shall also be approved by the Department. |  |  |
| RED-3 | All changes to the baseline requirements must be evaluated for cost, schedule and technical impact and approved by the Department. |  |  |
| RED-4 | The Contractor shall provide a document outlining all rules that are developed or configured for the Solution. |  |  |

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| **3. Design**  This section describes Contractor’s responsibilities in designing a Solution that meets the needs of the Department as articulated in this RFP. | | | |
| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| DES-1 | Contractor shall ensure that its Solution design meets all requirements to conduct the business processes described in Section X and all requirements listed in Attachment X. |  |  |
| DES-2 | The Contractor shall plan and facilitate Joint Application Design sessions detailing the proposed Solution design with Contractor and Department staff. |  |  |
| DES-3 | Contractor shall develop, deliver, maintain and execute a Data Management Plan that describes the strategy for managing data throughout the project, including a description of archiving and retention plans. |  |  |
| DES-4 | Contractor shall develop, deliver, maintain and execute a disaster recovery plan (DRP) that addresses recovery of business functions, including, without limitation:   * Strategies for backup, failover, and clustering * Allow for normal Department day-to-day activities and services to be resumed within 1 hour of the inoperable condition at the primary site * Contractor must test the DRP prior to implementation, document results, remediate issues, and test the plan annually. |  |  |
| DES-5 | Contractor’s design shall meet State data protection and security policies and procedures. |  |  |
| DES-6 | Contractor shall ensure that the Department’s system administrator is allowed to configure data attributes. |  |  |

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| **4. Development/Configuration**  This section describes Contractor’s responsibilities for ensuring that the configuration of the systems conforms to the requirements specifications documented and approved during the Requirements and Design activities. | | | | | | |
| **Req #** | **Description** | | **Response Code** | | **Explanation** | |
| DVC-1 | The Contractor shall be responsible for developing and configuring a  Solution to meet Department requirements. | |  | |  | |
| DVC-2 | The Contractor shall perform unit testing on all code development and provide evidence thereof to Department staff. | |  | |  | |
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| DVC-3 | The Contractor shall identify early in the system development life cycle, the functions, ports, protocols, and services intended for organizational use. | |  | |  | |
| DVC-4 | Contractor shall acquire any hardware or software required by the Solution, including licensed software, in such a manner that it may be legally used by the Solution. Contractor shall ensure that both hardware and software is upgradable and expandable with regular maintenance to ensure optimal performance. | |  | |  | |
| DVC-5 | Licenses must allow for transfer to the State if required. The Contractor must clearly describe in its RFP response the licensing cost for Department users for all hardware and software. | |  | |  | |
| **5. Data Conversion**  This section describes Contractor’s responsibilities in converting data contained in legacy systems to reside in the Solution. | | | | | | |
| **Req #** | **Description** | | **Response**  **Code** | | **Explanation** | |
| DAC-1 | The Contractor shall be responsible for planning, developing, testing, and managing the data conversion process. | |  | |  | |
| DAC-2 | The Contractor shall be responsible for converting all legacy data from the Department’s existing systems, spreadsheets and other supporting applications required for ongoing operations of the Solution and the historical reporting needs of the Department. | |  | |  | |
| DAC-3 | The Contractor must store archived data and make it accessible online to users though the Solution within a Department-specified period of time. | |  | |  | |
| DAC-4 | The Contractor shall use automated data conversion software and minimize manual intervention to the greatest extent possible. | |  | |  | |
| DAC-5 | The Contractor shall obtain the Department’s approval of the conversion software programs prior to use during conversion. | |  | |  | |
| DAC-6 | Contractor shall test the data conversion and provide results to the Department. | |  | |  | |
| DAC-7 | Upon approval of the conversion software programs, the Contractor will produce exception reports and assist the Department in performing manual data conversion/clean-up. | |  | |  | |
| DAC-8 | The data conversion process will have its own life cycle and may be performed through implementation period. | |  | |  | |
| DAC-9 | All project management and software development requirements shall apply to the Data Conversion portion of the project. | |  | |  | |
| DAC-10 | The Contractor shall be responsible for performing data clean-up of post-migration data issues. Data clean-up shall include executing modifications to the conversion programs, re-converting data, analyzing results, and producing reports to assist the Department in manual conversion of data as the Department determines necessary for approval. | |  | |  | |

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| **6. Testing**  This section describes Contractor’s responsibilities associated with testing the Solution. | | | |
| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| TES-1 | The Contractor shall provide testing, pre-production (“UAT”), and production environments, providing access to Department staff to testing and training environments. |  |  |
| TES-2 | The Contractor shall develop, deliver, maintain, and execute a Master Test Plan (“MTP") which must include plans for unit, data migration, performance and load testing, integration, and user acceptance testing. |  |  |
| TES-3 | The Contractor will perform unit, data migration, performance and load testing. Perform integration and regression testing for components and services and unit, integration, and system testing for systems; to ensure the Solution defects are found and eliminated. |  |  |
| TES-4 | The contractor shall develop and document User Acceptance test cases with the support of Department subject matter experts (SMEs). |  |  |
| TES-5 | The Department must approve User Acceptance Testing (UAT) test cases. |  |  |
| TES-6 | The Department may supplement UAT test cases provided by the Contractor with additional documented test cases. |  |  |
| TES-7 | The Department requires all unit, integration, and performance and load tests for a release be completed without defect prior to start of UAT for that release, unless otherwise approved by the Department. |  |  |
| TES-8 | The Contractor shall create and implement a security assessment plan that provides for security testing and evaluation. |  |  |
| TES-9 | The Contractor shall perform threat and vulnerabilities analyses and subsequent testing/evaluation of the as-built system, component, or service. |  |  |
| TES-10 | The Contractor shall perform penetration testing to include black box testing simulating adversary actions and with automated code reviews. |  |  |
| TES-11 | Defects severity and closing of any defects must be agreed to by the Department. |  |  |

**7. Training**

This section provides the description and deliverables associated with training Department staff on the Solution.

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| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| TRN-1 | The Contractor is responsible for training Department and IT staff on the Solution. Training will include classroom, instructor-led training, training the Department’s trainers and Department’s system administrators, and computer-based training. |  |  |
| TRN-2 | Contractor shall ensure that training minimizes staff time away from ongoing job responsibilities and training allows for a variety of pre-existing skills. |  |  |
| TRN-3 | Contractor shall ensure that training shall also include any necessary training required to complete User Acceptance Training. |  |  |
| TRN-4 | Training shall include an evaluation measure and instrument to verify training was successful. This shall be approved by the Department. |  |  |
| TRN-5 | The Contractor shall provide training at the Department’s office. Training shall begin no more than 45 business days prior to implementation. |  |  |
| TRN-6 | The Contractor shall be responsible for developing and updating all training materials. All training materials shall become property of the State under the contract. |  |  |

**8. Implementation**

This section describes the Contractor’s responsibilities for implementation of the Solution after go-live approval from the Department is given.

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| **Req #** | **Description** | | **Response**  **Code** | | **Explanation** | |
| IMP-1 | The Contractor shall be responsible for deploying the Solution after successfully completing all testing activities and confirming that all Solution components, data, and infrastructure meet Department requirements. | |  | |  | |
| IMP-2 | The Contractor shall follow change control processes and procedures for all changes to system components. The process must ensure: Separate development/test and production environments; Separation of duties between development/test and product environments; Production data is not used for testing or development; and Removal of test data and accounts before production systems become active. | |  | |  | |
| IMP-3 | Prior to the start of M&O, the Department must officially accept the Solution and issue instructions to cut over to the new Solution. | |  | |  | |
| IMP-4 | Prior to the Solution moving into the production environment, the Department must approve initiation of operations on the approved “go-live” date. | |  | |  | |
| IMP-5 | The Contractor shall develop an Implementation Plan that describes, and provides procedures for, how the Solution will be transitioned into an operational system. | |  | |  | |
| IMP-6 | The Contractor shall develop a Contingency/Recovery Plan that will include written management policies and procedures to maintain or restore business and technical operations in the event of an emergency, system failure, or disaster. | |  | |  | |
| IMP-7 | The Contractor shall provide the Department with an M&O Manual which includes information necessary to handle routine production processing, ongoing maintenance and outage schedules, performance monitoring, configuration management, help desk processes, and contact lists. | |  | |  | |
| IMP-8 | The Contractor shall agree to SLA requirements that establish clear relationships between the Department and the Contractor, set service goals, and provide a framework for continuous analysis and improvement. | |  | |  | |
| IMP-9 | The Contractor shall identify Personally Identifiable Information (“PII”) that is contained within the Solution and ensure it is protected according to State of Nebraska and federal requirements. | |  | |  | |
| IMP-10 | The Contractor shall remove non-production application accounts, user IDs, and passwords before applications become active or are released to customers. Contractor shall review custom code prior to release to production or customers in order to identify any potential coding vulnerability. | |  | |  | |
| IMP-11 | The Contractor shall implement processes for ensuring only authorized personnel access data. | |  | |  | |
| IMP-12 | The Contractor shall provide audit reports for tracking users, associated security groups, roles, settings, passwords and duplicate IDs. | |  | |  | |
| IMP-13 | The Department will determine the frequency and content of security audits. | |  | |  | |
| IMP-14 | The Contractor shall provide the Department with an immediate report of any incidents of intrusion and hacking regardless of outcome. | |  | |  | |
| IMP-15 | In the event of an incident of intrusion, the Contractor shall initiate corrective actions within timeframes approved by the Department. Contractor’s proposal shall present its approach to mitigation of breaches. Contractor is responsible for providing the Department with documentation concerning breaches within 24 hours of detection. | |  | |  | |
| IMP-16 | | The Contractor shall create an Escrow account on or before the start of operations. The account must contain all source code and data, the latest release version, and all required documentation. The escrow account must include the following, without limitation:   * Two copies of the source code including all listing of the lines of programming and any custom developed code for the Solution for each version * A complete copy of executable code including table structures, data structures, system tables and data   Costs associated with the escrow account must be included in the M&O prices proposed in Attachment III. | |  | |  |
| IMP-17 | | In the event that Contractor becomes insolvent, subject to receivership, or becomes voluntarily or involuntarily subject to the jurisdiction of the bankruptcy court, or if the Contractor fails to provide maintenance and/or support for the product as outlined in the contract, or the Contractor discontinues the product, the Department shall be entitled to access the software source code and related items for use in maintaining the Solution either by its own self or by a third party. | |  | |  |
| IMP-18 | | Contractor will deposit with the escrow agent any new release or updated version of the software within 10 business day from production release and proof of the deposit must be forwarded to the Department. | |  | |  |

**9. Maintenance and Operations**

The following section provides the description and deliverables associated with performing Maintenance and Operations (M&O) of the Solution.

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| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| MAO-1 | For a hosted Solution, the Contractor shall be responsible for the maintenance and operation of all hardware and software during the contract period. |  |  |
| MAO-2 | The Contractor shall provide qualified personnel, resources, and supplies to support the operation of any module or functionality of the Solution that is implemented to meet the SLAs defined in the contract. |  |  |
| MAO-3 | Contractor shall maintain and support the Solution which includes, without limitation:   * Activities necessary for the Solution to perform efficiently under agreed upon standards * Activities necessary to ensure that all data and programs are current and errors and defects are corrected * Activities necessary to meet new or revised Nebraska and federal requirements * Responses to production problems or emergency situations |  |  |
| MAO-4 | The Department may request modifications or enhancements to the Solution throughout the term of the contract. The Contractor shall perform software modifications for all components of the Solution following completion of implementation activities and approved start of operations, as requested by the Department based on a contractual hourly rate quote or as agreed upon. |  |  |
| MAO-5 | The Contractor shall provide, within 5 days, a response quote to an Enhancement request, that indicates the cost (equipment and manpower), work hours required, and proposed implementation date. |  |  |
| MAO-6 | The Contractor shall implement upgrades, patches, and fix updates based upon an agreed upon schedule with the Department at no additional cost. Testing is required prior to any release. |  |  |
| MAO-7 | The Contractor shall provide the capability to roll back data and software releases or programs as requested by the Department. |  |  |
| MAO-8 | The Solution shall allow the Department the option of maintaining user accounts, related reference data and configuration values. |  |  |
| MAO-9 | The Contractor shall provide monthly status reports summarizing all work orders (break/fix or enhancements) completed and the status of work in progress. |  |  |
| MAO-10 | The Contractor shall negotiate the schedule, format, and frequency of regular status meetings with the Department during the maintenance and operations cycle. |  |  |
| MAO-11 | The Contractor must monitor performance against Department-specified Key Performance Indicators (“KPIs”) in the SLAs finalized in the contract. |  |  |
| MAO-12 | Upon request, the Contractor will provide the Department with all reports and data used in the determination of SLA compliance and calculation of KPI metrics. |  |  |
| MAO-13 | The Contractor shall implement corrective action, at a schedule agreed upon with the Department, for any missed metrics or service level agreements. |  |  |
| MAO-14 | The Department and the Contractor agree that failure by the Contractor to perform in accordance with the established KPIs results in a loss to the Department. If the Contractor fails to meet the KPIs, the Department may retain a percentage of the total monthly payment as agreed in the contract. |  |  |
| MAO-15 | Service Level Agreements and KPIs shall be reviewed and updated annually. |  |  |
| MAO-16 | The Contractor shall manage and correct all problems reported by the Department through the duration of the M&O Period under the contract. |  |  |
| MAO-17 | The Contractor shall implement needed expansions of hardware and network at the Contractor’s own expense, subject to Department approval, before resource degradation impact Solution performance through the life of the contract. |  |  |
| MAO-18 | The Contractor shall monitor and report on application and data server performance. |  |  |
| MAO-19 | The Contractor shall support and provide assistance with any State of Nebraska and federal audits as the Department requests at a specified hourly contractual rate. |  |  |
| MAO-20 | With each new release, the Contractor shall provide specific Release Notes, as well as develop, deliver, and maintain User Manuals that incorporate all business process and screen changes in the release. |  |  |
| MAO-21 | The Contractor shall provide a support call desk to which all problems encountered can be reported and help given for questions or problems encountered when using the Solution. |  |  |
| MAO-22 | The Contractor shall provide a point of contact for all enhancement requests made by the Department. |  |  |
| MAO-23 | All enhancements will follow the project management and software development process requirements defined under Project Management and Software Development. |  |  |
| MAO-24 | The Contractor shall, at the request of the Department, bundle lower priority fixes and enhancements together in a monthly release, to minimize testing and training impact. |  |  |
| MAO-25 | The database and files in support of the licensure system must be backed up daily. This could be an incremental backup.  Once a week full backup of the database and files must be performed. The full weekly backup must be kept for a month.  Once a month full backup of the database and files must be performed. The full monthly backup must be kept for 12 months. |  |  |

**10. Turnover**

This section describes the Contractor’s responsibilities for transfer of the Solution from the Contractor to the Department at the end of Maintenance and Operations or upon termination of the Contract, or insolvency. The Department may exercise its option to extend the M & O period of the contract and delay Turnover activities for that period, which would extend the M & O period.

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| **Req #** | **Description** | **Response**  **Code** | **Explanation** |
| TOV-1 | The Contractor shall be responsible for planning the turnover of the Solution to the Department or a designated agent at the conclusion of the M&O period upon notification from the Department. |  |  |
| TOV-2 | The Contractor shall provide a detailed Turn Over Plan, subject to approval by the Department. Such plan shall include, without limitation, the following:   Procedures to identify and verify all software, data, documentation and miscellaneous supplies that will be transferred to the Department   All hardware specifications   In the event the contract agreement is a direct purchase, all software, including custom-developed code and COTS systems purchases, developed or managed by Contractor in delivery of this contract   In the event the contract agreement is a direct purchase, all data and information repositories such as databases, system files, data files, archives   * Full database backup, system files, data files, archives and   any other files or backup created in support of the licensure system   Mitigation and contingency plans to address Turnover execution failures   Turnover schedule |  |  |
| TOV-3 | In the event the contract agreement is a direct purchase rather than licensing of the Solution, all software, data, and documentation developed, procured, or managed by the Contractor shall be transferred to the Department. The Contractor will be required to attest that the supplied components and materials are current, accurate, and complete. |  |  |
| TOV-4 | In the event the contract agreement is a hosted Solution with hardware purchased by the Department, all hardware, machine software, data, supplies and documentation developed, procured, or managed by the Contractor shall be transferred to the Department. The Contractor will be required to attest that the supplied components and materials are current, accurate, and complete. |  |  |