



STATE OF ARKANSAS
OFFICE OF STATE PROCUREMENT
1509 West 7th Street, Room 300
Little Rock, Arkansas 72201-4222

ADDENDUM 1

TO: Vendors Addressed
FROM: Shane Phillips, Buyer
DATE: 12/19/2018
SUBJECT: SP-18-0132 Online Insurance Verification System

The following change(s) to the above-referenced RFP have been made as designated below:

- Change of specification(s)
- Additional specification(s)
- Change of bid opening time and date
- Cancellation of bid
- Other

BID OPENING DATE AND TIME

- Bid opening date and time shall remain unchanged.

CHANGE OF SPECIFICATIONS

- Delete Section 2.4.D. and replace with the following:
 2.4.D. The Prospective Contractor **shall** have a minimum of three (3) years of experience printing and mailing letters.

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions, please contact Shane Phillips at Jordan.Phillips@dfa.arkansas.gov or (501) 324-9322.

Company: Pasco INC. d/b/a VALIDATI

Signature: *Peter H. Hubel*

Date: 01-21-2019



STATE OF ARKANSAS
OFFICE OF STATE PROCUREMENT
 1509 West 7th Street, Room 300
 Little Rock, Arkansas 72201-4222

ADDENDUM 3

TO: Vendors Addressed
 FROM: Shane Phillips, Buyer
 DATE: January 17, 2019
 SUBJECT: SP-18-0132 Online Insurance Verification System

The following change(s) to the above-referenced RFP have been made as designated below:

- Change of specification(s)
 Additional specification(s)
 Change of bid opening time and date
 Cancellation of bid
 Other

CHANGE OF SPECIFICATIONS

- Delete Section 3.1.C.2. and replace with the following:
2. The agency has assigned Weighted Percentages to each sub-section according to its significance.

Information for Evaluation Sub-Sections	Maximum Raw Points Possible	Sub-Section's Weighted Percentage	* Maximum Weighted Score Possible
PROSPECTIVE CONTRACTOR EXPERIENCE			
Corporate Background and Experience (T-2 Sections 1 & 2)	5	6	42
Legal Consideration (T-2 Section 3)	5	2	14
PROSPECTIVE CONTRACTOR STAFFING			
Key Personnel/ Resumes (T-3 Sections 1, 2, & 3)	5	3	21
Staff Retention (T-3 Section 4)	5	3	21
REQUIREMENTS			
Coordination and Communication (T.4 E.1 & T-5 E.1)	5	6	42
Web Based Application Interface (T.4 E.2 & T-5 E.2)	5	8	56
System to System Connection Interface (T-4 E.3 & T-5 E.3)	5	8	56
Data Upload and Download Requirements (T-4 E.4 & T-5 E.4)	5	6	42
Reporting (T-4 E.5 & T-5, E.5)	5	3	21
System User Access (T-4 E.6 & T-5 E.6)	5	6	42
Auditing (T-4 E.7 & T-5 E.7)	5	4	28
Data Storage and Retention (T-4 E.8 & T-5, E.8)	5	5	35
System Alerts (T-5, E.9)	5	5	35

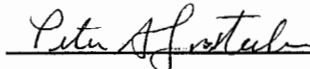
Solution Infrastructure and Implementation (T-5, E.10)	5	6	42
PLANS			
Implementation Plan	5	4	28
Testing Plan	5	5	35
Training Plan	5	2	14
Disaster Recovery and Business Continuity Plan	5	4	28
Data Security Plan	5	4	28
Maintenance Plan	5	4	28
Ongoing User and Technical Support Plan	5	6	42
Total Technical Score	105	100%	700

*Sub-Section's Percentage Weight x Total Weighted Score = Maximum Weighted Score Possible for the sub-section.

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions please contact Shane Phillips at Jordan.Phillips@dfa.arkansas.gov or (501) 324-9322.

Company: TASCO INC. d/b/a ValidATI

Signature: 

Date: 01-21-2019



STATE OF ARKANSAS
OFFICE OF STATE PROCUREMENT
1509 West 7th Street, Room 300
Little Rock, Arkansas 72201-4222

ADDENDUM 2

TO: Vendors Addressed
FROM: Shane Phillips, Buyer
DATE: January 14, 2019
SUBJECT: SP-18-0132 Online Insurance Verification System

The following change(s) to the above-referenced RFP have been made as designated below:

- Change of specification(s)
- Additional specification(s)
- Change of bid opening time and date
- Cancellation of bid
- Other

CHANGE OF SPECIFICATIONS

- Delete Template C1 Cost Proposal and Replace with Template C1 Cost Proposal Revised

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions please contact Shane Phillips at Jordan.Phillips@dfa.arkansas.gov or (501) 324-9322.

Company: PASCO INC. d/b/a VALIDATI
Signature: *Peter A. Smith*
Date: 01-21-2019

PASCO[®]

January 21, 2019

Office of State Procurement
Mr. Shane Phillips, OSP Buyer
1509 West 7th Street, Room 300
Little Rock, AR 72201-4222

Re: **Solicitation Number: SP-18-0132:** Arkansas Online Insurance Verification System

Dear Mr. Phillips,

I am pleased to present to you the Proposal of PASCO, Inc., d/b/a Validati, in response to the above referenced Request for Proposal.

If Validati is the successful Proposer, we are confident that we can meet the Scope of Services and deliver a best-in-class solution for the Arkansas Online Insurance Verification System. We will meet performance requirements and are dedicated to bringing innovation to the entire process by sharing our knowledge and experience collaboratively with the State.

We stand by to answer any questions you might have or provide additional information to address any issues or concerns that may arise.

Very truly yours,



Peter A. Spitalieri
President

PASCO, Inc.
5600 Hudson Industrial Parkway, Suite 200
Hudson, OH 44236
(330) 655-7202
spitalieri@pasco-group.com
www.Validati.com

Template T-1

Cover Letter and Executive Summary

Response Template

RFP #: SP-18-0132

Table of Contents

1.0 PROPOSAL SIGNATURE PAGE	3
2.0 Executive Summary.....	4
3.0 Prospective Contractor Contact Information	10
3.1 Subcontractor Contact Information (If applicable).....	10
4.0 Minimum Mandatory Qualifications	12

1.0 PROPOSAL SIGNATURE PAGE

Type or Print the following information.

PROSPECTIVE CONTRACTOR'S INFORMATION					
Company:	PASCO, INC. d/b/a Validati				
Address:	5600 Hudson Industrial Parkway, Suite 200				
City:	Hudson	State:	OH	Zip Code:	44236
Business Designation:	<input type="checkbox"/> Individual	<input type="checkbox"/> Sole Proprietorship	<input type="checkbox"/> Public Service Corp		
	<input type="checkbox"/> Partnership	<input checked="" type="checkbox"/> Corporation	<input type="checkbox"/> Nonprofit		
Minority and Women-Owned Designation*:	<input type="checkbox"/> Not Applicable	<input type="checkbox"/> American Indian	<input type="checkbox"/> Asian American	<input type="checkbox"/> Service Disabled Veteran	
	<input type="checkbox"/> African American	<input type="checkbox"/> Hispanic American	<input type="checkbox"/> Pacific Islander American	<input type="checkbox"/> Women-Owned	
	AR Certification #: _____		* See <i>Minority and Women-Owned Business Policy</i>		
PROSPECTIVE CONTRACTOR CONTACT INFORMATION					
<i>Provide contact information to be used for bid solicitation related matters.</i>					
Contact Person:	Scott Keller	Title:	V.P. Administrative Services		
Phone:	330.655.7233	Alternate Phone:	330.655.7202		
Email:	keller@pasco-group.com				
CONFIRMATION OF REDACTED COPY					
<input checked="" type="checkbox"/> YES, a redacted copy of submission documents is enclosed. <input type="checkbox"/> NO, a redacted copy of submission documents is <u>not</u> enclosed. I understand a full copy of non-redacted submission documents will be released if requested. <i>Note: If a redacted copy of the submission documents is not provided with Prospective Contractor's response packet, and neither box is checked, a copy of the non-redacted documents, with the exception of financial data (other than pricing), will be released in response to any request made under the Arkansas Freedom of Information Act (FOIA). See Bid Solicitation for additional information.</i>					
ILLEGAL IMMIGRANT CONFIRMATION					
By signing and submitting a response to this <i>Bid Solicitation</i> , a Prospective Contractor agrees and certifies that they do not employ or contract with illegal immigrants. If selected, the Prospective Contractor certifies that they will not employ or contract with illegal immigrants during the aggregate term of a contract.					
ISRAEL BOYCOTT RESTRICTION CONFIRMATION					
By checking the box below, a Prospective Contractor agrees and certifies that they do not boycott Israel, and if selected, will not boycott Israel during the aggregate term of the contract.					
<input checked="" type="checkbox"/> Prospective Contractor does not and will not boycott Israel.					

An official authorized to bind the Prospective Contractor to a resultant contract shall sign below.

The signature below signifies agreement that any exception that conflicts with a Requirement of this *Bid Solicitation* will cause the Prospective Contractor's proposal to be rejected.

Authorized Signature: Peter A Spitalieri Title: President
 Use Ink Only.
 Printed/Typed Name: Peter A. Spitalieri Date 01-21-2019

2.0 Executive Summary

Instructions: Provide a brief (three [3] to five [5] page) summary of the key aspects of the Prospective Contractor's Technical Proposal. The Executive Summary should include an overview of the Prospective Contractor's qualifications, approach to deliver the services described in the RFP, time frame to deliver the services, proposed team and advantage of this Proposal to DFA.

Validati is eminently qualified to ensure the successful development and ongoing support of the Arkansas Online Insurance Verification System. Validati understands the bid requests a competent vendor who can deliver a fully functional turn-key statewide online motor vehicle insurance verification and processing system as delineated in this RFP, within the timeframes and advantageous to the State of Arkansas Department of Finance and Administration (DFA)

Validati understands the Program Objectives and is offering a solution to best:

Reduce the number of uninsured motorists in this State

Provide the most convenient method for citizens to provide proof of motor vehicle insurance

Be the best value for the state

Meet the shared common mission of providing public safety and security to the citizens of Arkansas

Sufficiently safeguard the security and integrity of information provided by insurance companies

Integration with current state systems and workload

Validati will bring our vast experience to ensure the successful management of all of the requirements of this RFP. We believe that the approach we offer would be the most beneficial for DFA and the supporting agencies.

Qualifications

Validati has been an industry leader in the verification of automobile insurance for 30 years. We have provided similar programs for state governments and major financial institutions throughout the United States. Validati has direct experience implementing online vehicle insurance verification programs, including providing all interfaces between its database and government entities using the data. Validati has electronically processed millions of insurance transactions for a number of states and financial institutions.

We are experienced at meeting compliance requirements for state government and large public companies. We have demonstrated our ability to deliver complex software projects in a timely fashion.

Validati was the sole vendor operating the insurance verification program nationally for General Motors Acceptance Corporation (GMAC) for over 25 years. Validati was the first company to receive electronic files on a national basis from insurance companies and built and maintained complicated algorithms to match the information to the vehicle database.

Validati provided the non-compliance monitoring services for the State of California Department of Motor Vehicles (DMV). These services included the mailing of all types of letters; processing large insurance files and matching these records to the large California database; managing the

Customer Support calls; processing payments for fines; and lock box and management reporting. Validati developed the program using its internal software and development staff. As part of the contract, Validati successfully transition its system to the California DMV, which is still being used today. Validati designed, implemented, and currently maintains the on-line verification system for the state of California Department of Motor Vehicles. This system is still used to verify financial responsibility (registration, renewal, law enforcement, etc.).

Validati operates the full online verification system for the State of New Mexico Motor Vehicle Division. Validati collects and processes hundreds of thousands of insurance records monthly, matching electronic files received from the insurance companies with the registration database provided by New Mexico. Validati built and manages the on-line access to the information in the Validati database. This portal, www.driveinsured.com, supports all customer contacts for authorized state employees, New Mexico constituents and insurance agents and companies.

Validati operates the Random Determination Program for the State of Ohio Bureau of Motor Vehicles. Validati is responsible for processing all insurance correspondence, and electronically interfacing with the BMV systems providing compliance information for the constituent drivers. Validati manages the Call Center supporting all questions from Ohio drivers.

All of the development and support will be delivered with adherence to the service measures detailed in this RFP. We will deliver an online verification of motor vehicle insurance and compliance solution with our proprietary software and hardware. The system will be built after proper requirements gathering, design, development, customization, training, testing, and implementation, transition management of insurance companies, creation of letters to citizens not in insurance compliance, and a web portal and Call Center for public customer support. Once built Validati will meet all Performance Standards to ensure the successful operation of the program. We have the quality controls and audit processes that allow the DFA and related agencies to independently measure and monitor our performance.

Validati is part of PASCO®. PASCO is a leader in information technology servicing clients in industries including healthcare, financial institutions and various states, county and municipal government agencies. All of the technology resources are managed by PASCO. PASCO clients include government agencies where we work with IRS data which require federal security compliance and healthcare providers which require HIPPA compliance.

Approach

Validati will use our technology to receive files from the insurance companies and match the records to the registration database. Validati uses a variety of algorithms and cascading match routines. The routines generate results that maximize match rates while reducing “false positives.” Each cascading match routine has multiple criteria. Initial routines require exact matches while later routines are less restrictive and allow “partial” matches based on predetermined acceptable thresholds. The matching process ends when a match is made (positive link) or a record is unable to meet the minimum requirements.

We will utilize our Insurance coordinator to manage the file receipt, data quality and communication with the insurance companies. We are currently providing this service to our clients. We have a database of all of the contacts at these companies to facilitate the implementation and ongoing support with these companies. Our interaction will include:

- *Communication, planning and coordination*

ceived

All of our rules and processes are documented in a User Manual which we will modify for use with the Arkansas Online Insurance Verification System.

Validati will accept policy data from all licensed insurance companies in Arkansas. Validati will accept the policy records weekly. We can accept these files 24 hours a day, 7 days a week. We will load the data after proper validation within 24 hours and continue with the process to contact insurance companies that do not meet the reporting requirements or submit erroneous records. We will also accept files from smaller carriers through a process we establish on the web portal. We currently do this for agencies and small carriers in New Mexico.

We will use the registration database provided to us monthly consisting of registered vehicles to match the insurance records received. Monthly files will be transmitted via Secure File Transfer Protocol (SFTP), or other alternative data transference technology as deemed necessary to and from the DFA AIRS DSMV System.

Validati will transmit monthly response file indicating if a registration has a corresponding insurance policy active in the online system. The response file will be submitted in a format, timeframe, and delivery method to be designated by DFA.

Validati will send non-compliance notices in the form of a mailed letter to the registered owner of the vehicle whenever a motor vehicle registration does not have an active liability insurance policy. We understand that there are 450,000 non-compliance letters pending that will be sent according to a schedule that we will work out with DFA. The driver will receive one letter for all non-compliant vehicles. We will send these letters within 30 days from the processing of the monthly registration database. We manage our own print and fulfillment facility that will complete this activity. We are providing this service for our current insurance verification clients as well as dozens of other government entities.

Insurance companies and drivers can access the database to retrieve information on vehicle compliance. Validati will provide insurance verification information to DFA's (AIRS - DSMV) system, with law enforcement from fixed and mobile terminals (police cruisers), Arkansas courts, Arkansas Insurance Department, Arkansas insurers, and any other State of Arkansas authorized personnel. State agencies will be able to access this information through a common web service interface.

A public website will be established for citizens of Arkansas, State Entity users, and Insurance Companies to access and view data appropriate to their user role in the Online Insurance Verification System. The site will be developed with tools and designed to be easily viewable on a wide variety of devices (i.e. PC's, laptops, tablets, mobile smart phones, etc.). The site will be available 24 hours per day/7 days per week minus any maintenance downtime as approved by DFA. Validati will establish role-based user access.

Validati will comply with all of the requirements for access of each of these constituents. We have the same designations in place today and are currently doing things like the assignment of unique Pins for letters, providing Excel Spreadsheets for small carriers, and allowing insurance companies to authorize new users and agents. We plan to share some of the current protocols with DFA for consideration.

We will provide a method for collection of registration fees as detailed in our response. We provided this service for California drivers and continue to do this for other government entities we provide services for. We own a separate company that provides Collection services for state government. We understand this process very well.

The Online Insurance Verification System will be in compliance with the Insurance Industry Committee on Motor Vehicle Administration (IICMVA) Model User Guide for Implementing Web Services V7.0 updated January 3, 2017.

Validati has existing online interfaces that can easily be modified to the requirements of DFA. Validati will allow DFA to finalize the screens during the Design phase of the implementation.

Validati will provide customer support for Arkansas citizens and Insurance Companies Monday – Friday 7:00 a.m. – 7:00 p.m. Central Time, excluding State holidays. We have experienced management for this particular activity that will train our staff and provide for redundancy. Our current incident escalation procedures will be modified to meet DFA requirements. We have existing capacity with our call technology to easily handle the increased volume.

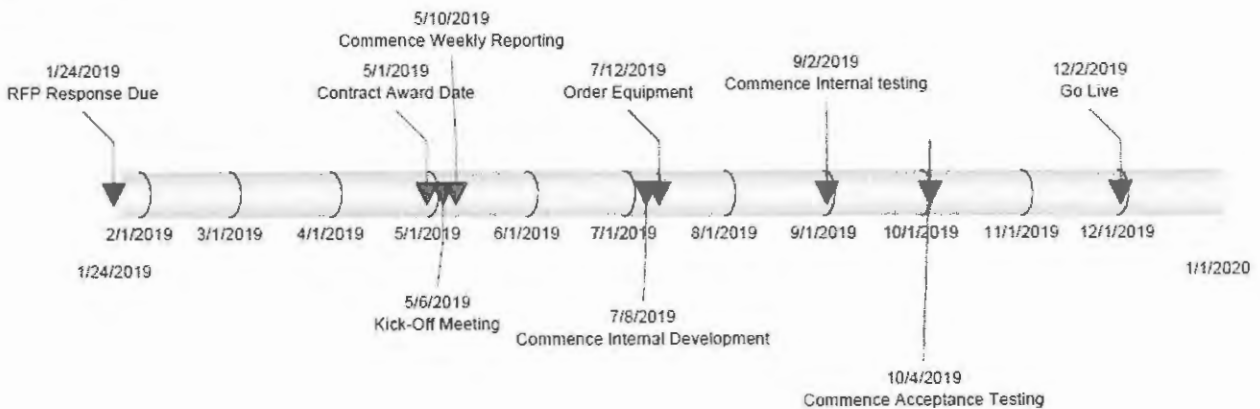
We will also provide technical and user support for State Entity staff via toll free telephone and email Monday – Friday, 7a.m.- 7p.m. Central Time, excluding State Holidays. We will modify our escalation procedures to meet the requirements of DFA. Our help desk coordinator will manage all requests to ensure compliance with service requirements. We manage technical support desks for all of our clients, 24X7 & 365 days per year.

Validati will provide all of the reporting to ensure the proper measurement of activities and tracking for compliance. This will be accomplished through the on-line portal. Validati will regularly meet with DFA and other agency staff to review performance and identify opportunities to improve the program.

All of the Validati technology will be in our secure data center compliant with Section 2.6 and 2.7. Our data center has been through a number of security audits from state agencies and has not experienced any critical issues reported from the audit. Logs will be in place to track inquiries and database changes. We have provided a maintenance plan with our response to ensure that security requirements are maintained and in compliance with Section 2.10 of this RFP.

Timeframes to Operate Arkansas Online Insurance Verification System

Validati has submitted a Project Plan including details with responsibilities, timelines, durations, milestone dates, deliverables, and personnel hours by deliverables, State personnel hours, and all critical dependencies for the milestones and deliverables. Below is the timeline to deliver these services.

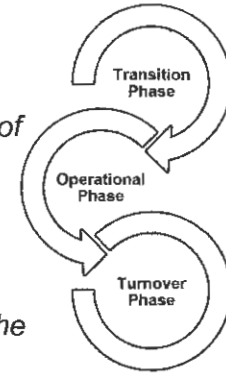


Implementation Phase

During this phase we will complete the requirements gathering, design, development, customization and testing of the system. We will also oversee the training of State employees, developing all plans to document the system and all critical processes. All insurance companies will be on boarded.

Operational Phase

This phase will be the live performance of the service through the completion of the contract or any renewals. This will include completion of all performance standards, regular updating of all Plans, and ongoing compliance with all provisions of this RFP, including providing suggestions and responding to any new service.



Turnover Phase

This phase will complete the Program by assisting with the transition of the data and processes to the new vendor or DFA. A turnover plan will be created that will mirror the process to ensure a seamless transition at the end of the contract. Validati will cooperate with DFA in initiating a smooth and orderly transition to the next vendor. Validati has experience doing this with the program in California. The transfer was completed on time and without incident.

Team

Validati understands clearly the program requirements. We will staff with qualified personnel who understand the requirements of insurance tracking, project management, and technology.

Validati will provide an Account Manager who will serve as the primary point of contact between the State and Validati after Implementation is complete and the solution is fully operational. This person will have the ability to resolve all dealing with the State agencies.

The Project Manager will oversee implementation and be the point of contact during this phase to ensure compliance with all development and documentation of the solution. We will ensure adequate back-up is in place. We have significant experience in managing large project installations for major state programs (e.g., California) to private enterprises (e.g., GM).

Our Technical team includes individuals with exact experience in building systems like the Arkansas Online Insurance Verification System. We have a design, development, and testing process that will be shared with DFA for compliance and we will schedule regular meeting to ensure we are moving the project forward on schedule in a quality fashion.

Validati will have a Security Officer to address any reporting security violations, security breaches, or any attempts to gain access to the system. This person will oversee all software and security upgrades.

Three different Operation Managers will oversee the Call Center supporting citizen calls, the technical help desk, and the Fulfillment Center supporting the generation and mailing of notices.

All of these individuals will be supported with other technical and operational personnel that have significant experience running on-line verification programs.

Best choice for State of Arkansas Department of Finance and Administration (DFA)

Validati is uniquely qualified to provide these services and offer the best value to DFA. We have an outstanding understanding of insurance verification programs, significant government experience, and technical resources. We will provide a secure data environment that meets all of the specifications of the RFP.

We expect to do more than meet all of the RFP requirements. We will be a partner sharing best practices from our understanding of other State programs and participation at industry conferences. We will review all data for new opportunities and analysis on program results

During the design we will suggest other ideas for reports, screens and methods for consideration. We plan to meet quarterly to review program results and offer suggestions for improvement after implementation.

Our experience performing these programs will require less time for DFA and other state staff in the design, testing and implementation of the Program.

Validati is the best choice for DFA to ensure that a solution can be delivered on time with the quality, and documentation, in a secure environment. Our Detailed Plans and responses clearly demonstrate our understanding of the requirements and we are prepared to deliver.

3.0 Prospective Contractor Contact Information

Instructions: Complete the following information regarding the Prospective Contractor's organization. Do not change any of the completed cells. Any changes to the completed cells could lead to the rejection of the Proposal.

Table 1. Prospective Contractor Information

COMPANY HEADQUARTERS INFORMATION:	
Company Size:	55 (Total Number of Employees)
Annual Revenue:	\$5,760,887
PROSPECTIVE CONTRACTOR ORGANIZATION PROFILE	
Name of Parent Company	PASCO, INC.
% of Revenue from State and Local Government Clients in the United States	80%
Number of Years in Business	32 years
Number of Years Prospective Contractor has been Providing the Type of Services Specified in the RFP	32 years
Number of Employees Providing the Type of Services Specified in the RFP	22

3.1 Subcontractor Contact Information (If applicable)

Instructions: Complete the following information regarding the subcontractor's contact information. If more than one subcontractor is proposed, add more Tables as necessary. Do not change any of the completed cells. Any changes to the completed cells could lead to the rejection of the Proposal.

Table 2. Subcontractor Contact Information

COMPANY INFORMATION:	
Company Name:	
Address:	

State of Arkansas Department of Finance and Administration
 Online Insurance Verification System
 RFP #: SP-18-0132
 Template T-1 – Cover Letter and Executive Summary

City, State & Zip Code:			
Company Type (Check One):	<input type="checkbox"/> Private	<input type="checkbox"/> Public	
Company Size:	(Total Number of Employees)		
Annual Revenue:			
PRIMARY CONTACT INFORMATION:			
Name:		Title:	
Address:			
City, State & Zip Code:			
Phone:		Fax:	
E-mail:			
SUBCONTRACTOR ORGANIZATION PROFILE			
Headquarters Location			
Date Founded			
Services to be Provided			
Experience of Subcontractor in Performing the Services to be Provided			
Brief Description and Number of Projects that Prospective Contractor has Partnered with this Subcontractor on			
Locations Where Work is to be Performed			

4.0 Minimum Mandatory Qualifications

The Prospective Contractor **must** provide clear, compelling justification that it meets all of the Minimum Mandatory Qualifications. The Prospective Contractor is encouraged to provide ample references to information contained in the Proposal that supports its attestation. Prospective Contractor's that fail to provide clear, sufficient evidence that they meet the Minimum Mandatory Qualifications may be subject to rejection. OSP and DFA may ask for additional clarifications relating to the Minimum Mandatory Qualifications prior to determination of compliance.

Instructions: Complete the following information regarding the Prospective Contractor's ability to meet the Minimum Mandatory Qualifications. Provide specific references to Proposal locations that support the Prospective Contractor's assertions that it meets the Minimum Mandatory Qualifications. Do not change any of the completed cells. Any changes to the completed cells could lead to the rejection of the Proposal.

Table 3. Minimum Mandatory Qualifications

#	QUALIFICATION ITEM	DOES THE PROSPECTIVE CONTRACTOR MEET QUALIFICATION ITEM?		REFERENCE TO PROPOSAL RESPONSE SECTION
		YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	
1	The Prospective Contractor shall have a minimum of three (3) years' experience providing online insurance verification services of similar size and scope as the services required in this RFP to at least one (1) State government in the United States.	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T2 (1.1) T2 (1.2)
2	The Prospective Contractor's proposed solution must be currently in use and have been implemented in the last five (5) years by at least one (1) State government in the United States.	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T2 (1.1) T2 (1.2)
3	The Prospective Contractor shall have a minimum of three (3) years of experience successfully managing a support center for the purpose of providing user and technical support to the various user types of the online insurance verification system.	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T2 (1.1) T2 (1.2)
4	The Prospective Contractor shall have a minimum of three (3) years of experience printing and mailing letters related to the online insurance verification process.	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T2 (1.1) T2 (1.2)
5	The Prospective Contractor shall have a minimum of three (3) years of experience in receiving and transmitting motor vehicle insurance information between Insurance Companies and authorized State agencies.	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T2 (1.1) T2 (1.2)

Template T-2

Prospective Contractor Experience

Response Template

RFP #: SP-18-0132

Table of Contents

1.0 Prospective Contractor Corporate Background and Experience	3
1.1 Prospective Contractor’s Corporate Background	3
1.2 Prospective Contractor’s Experience.....	5
2.0 Prospective Contractor Reference	11
2.1 Subcontractor References (If applicable)	13
3.0 Legal Considerations.....	15
3.1 Existing Business Relationships with the State of Arkansas.....	15
3.2 Business Disputes.....	15

1.0 Prospective Contractor Corporate Background and Experience

1.1 Prospective Contractor's Corporate Background

The Prospective Contractor should describe its corporate background to provide context of the organization that will be providing the services in this RFP.

Instructions: Describe the Prospective Contractor's corporate background as it relates to projects similar in scope and complexity to the project described in this RFP.

Validati was formed as an Ohio corporation in 1986 as Automated Tracking Systems, Inc. Its legal name was changed to PASCO, Inc. in 1999. PASCO currently operates its insurance verification and tracking businesses under the trade name "Validati." Today, PASCO is a diversified holding company operating within a core set of Corporate Values, which determine how we treat one another, our clients, our business and the community in which we operate. PASCO owns all of the computer equipment, furniture, office equipment and other personal property. PASCO has two operating units. Customer Management Systems hosts databases and provides CRM services to automobile dealerships throughout the Midwest and in Europe, and Validati. PASCO also has an ownership stake in CELCO, which operates a full service debt recovery firm. Mr. Spitalieri owns the remaining stock in CELCO and also has a minority stock position in a major technology businesses and a marketing company, and owns a publishing company.

PASCO, Inc d/b/a. Validati	Type of business entity: Subchapter S Corporation
1140 Terex Rd. Hudson, OH 44236	Place of incorporation: Ohio
330-655-7000 (main line)	Validati has its office location at: 5600 Hudson Industrial Parkway, Hudson Ohio 44236
330-655-7012 (fax)	Validati has been in business since 1986
Pasco-group.com (website)	Validati is a trade name, PASCO's Federal Identification number is 34-1522041

Validati has been an industry leader in the verification of automobile insurance for over 30 years. We have provided similar programs for state governments and major financial institutions throughout the United States. Validati has direct experience implementing, and running vehicle insurance verification programs, including providing all interfaces between its database and government entities using the data. We are experienced at meeting compliance requirements of state government and large public companies. We have demonstrated our ability to deliver complex software projects in a timely fashion.

Validati has operated four different programs for insurance verification to state government with similar processes and service required by this RFP. We have the knowledge and expertise to develop, implement, and maintain a complex online insurance verification program and provide all of the support for the activities to properly manage the Arkansas Online Insurance Verification System Program.

VALIDATI® STATE GOVERNMENT INSURANCE VERIFICATION PROGRAMS



Validati has been in business providing insurance compliance services longer than any company and has provided these services to more customers, tracking over 50,000,000 vehicles for state government entities, GMAC and dozens of financial institutions. Validati has significant relevant experience in dealing with state government in similar programs.

Validati has electronically processed millions of insurance transactions for several states and financial institutions. Our programs to receive insurance files and match the data to driver records were established over 30 years ago for financial institutions, including GMAC on a national basis. We are very experienced at managing large transactional databases and have performed this service for the largest state, California, and the largest private program, GMAC. We have also operated online verification for three states including the largest program in the country, California.

Validati was selected as the vendor for this Ohio program in June, 2010. After the design specifications were agreed to, Validati quickly modified its system and participated with the state in testing to ensure proper results. All of the staff was hired and the implementation began on time in August, 2010. The program was re-bid requiring a minority Prime Contractor in 2015. Validati made the necessary changes to team up with a Minority Contractor and was awarded the Contract. Validati supplies all of the technology for this Program and the Call Center personnel.

Validati was selected in July 2011 and was operational tracking the 2.0 million vehicles for the state of New Mexico in September, 2011. All of the communication systems were established, documentation was written and trained, and all of the processes allowing for a successful launch were put in place in just three months. Validati last renewal was in September 2017, requiring a re-write of the complete system due to a re-write of the State DMS system. At that time all processes were tested with the state and new documentation was completed. This meets Requirement #2 in T1 Table 3.

California Vehicle Registration Financial Responsibility Program was first implemented in 2010. The project was rebid and installed with new services in November 2014.

Validati has supported both the client needs and insurance companies with a dedicated Help Desk and web portal. All of our programs are fully documented and we have been audited both by state government and private clients to ensure that the data is secure and all processes are executed in a quality fashion.

Validati is confident that it has the qualified personnel, skills, ability, experience, organization, facilities, materials, supplies, and equipment to fulfill all requirements required by this RFP.

1.2 Prospective Contractor's Experience

The Prospective Contractor should describe one (1) previous or current engagement (of a similar size, nature, and complexity as defined by the RFP requirements) that it has performed that demonstrate its capability to perform the services required in this RFP. Contractor should include the following:

1. Describe its experience verifying motor vehicle insurance coverage online for registered vehicles in at least one (1) state government installation that is the same size and scope.
2. Describe its experience with development, testing, customization, and deployment of an online insurance verification solution.
3. Describe its experience with communicating with insurance companies during implementation of the online insurance verification system with insurance companies that provide motor vehicle insurance. Include insurance companies that do business in the State of Arkansas.
4. Describe its experience with maintaining and running a customer support center for answering questions and issues for state citizens regarding the online insurance verification process.
5. Describe its experience with printing and mailing letters.

Validati has direct experience performing all of the services in this RFP. Specifically,

Verifying motor vehicle insurance coverage online

We provide on-line verification for three states. Our program in California is the largest. Drivers can use the site at renewal registration and to verify compliance when letters are received. State staff access information to assist customers in their Call Center.

In Ohio the site is used internally by our Call Center and by various state users.

In New Mexico we provide a web portal for access to the online systems. This site allows direct access to the insurance database by State users twenty-four hours each day seven days a week. Drivers and agents can provide information on vehicles and assist in processing commercial coverage. Our Call Center uses the site to inform drivers of the status of notices received and to clear accounts in the suspension cycle.

This meets Requirement #1 in T1 Table 3.

Development, testing, customization, and deployment of an online insurance verification solution

All three programs required customization. We follow a rigorous process to ensure that the programs met the individual state requirements. Our process we used with each implementation is below.

The first phases of the project (Pre-Design and Requirements definition) involves the creation of the full specification set that that system will need to deliver based on the program. The requirements gathering phase involves systematic documentation reviews and follow-up interviews with project stakeholders. The requirements must include all required external interfaces (non-user), all internal functional requirements, and all user interface needs. It is critical that Validati and the particular State both view this phase as a team effort so that the system will fulfill all of project requirements, and establish the basis for successful test plan creation in subsequent phases. Test plans at each level will focus on components of each of these key deliverables and from these validated requirements Validati will develop test scripts that will result in both the business and functional requirements being mapped to a testing scenario.

The second phase of our methodology is the Analysis and Design Phase for both internal and externally facing system components. First, the Functional Design of the system is documented and flowcharted. This would also include any database design or modification, software component/interface design, and the definition of the project development rules. Upon completion of the functional design Validati will complete an Architecture Design to ensure that the components identified in the functional design are properly placed, sized and configured to achieve maximum effectiveness. Once all of the design components are completed, the individual modules are assigned to developers.

The third phase of our methodology, the Development phase, will commence once the technical design has been approved. The responsible developer implements the functionality in accordance with the rules and guidelines of our documented practices. Before any developer can sign off on module development being completed, the test plan for the module must be created. Once the newly developed module has been certified as fully tested, it will be integrated with other modules to form the system.

Once the development team has completed all of the technical testing, the system is then turned over to the QA teams for testing, and the final phase of our methodology. The QA testing will focus on the higher level, end-to-end type testing that validates that the system is

functionally and technically working correctly. During this phase, the project lead coordinates the feedback and resolution of defects that may arise.

Once we have signed off on their testing results, the User Acceptance Testing (UAT) will commence. This testing phase is centered on the user experience (GUI, Process flow, and inter-system interactions). We will also perform load testing at this time. This is the final level of testing in the Validati methodology. Once this stage is completed the system will be readied for deployment/installation.

The final phase the Validati methodology is the Deployment and Post-Implementation Phase. As noted above, once the testing phase is completed and approved, and all the Operational, Technical and Administrative documentation is reviewed and readied for production, the deployment of the system will be completed. A deployment plan will be created that identifies tasks, responsibilities, and the timing for each piece of the system to be deployed.

Finally, once the system is deployed, a series of Post-Implementation Quality Checks (PIQC) will be performed to ensure that the system is operating as intended. These validation activities are similar in nature to tests performed in the QA and UAT test phases, and will occur for the first 30 days of the systems deployment. Security Scans will be run to ensure that the system has not been compromised.

The timeline for all of the development activities including test plan development, approval, and actual testing, will be covered in our comprehensive Project Plan

All of our Programs were designed, developed and tested with internal resources. In each case we followed a similar process with our Project Manager and a stakeholder from the State.

In Ohio we gathered all of the design elements and built the on-line system, reporting, notice mailings and data transfer of information from the DMV. All of this was built in a secure environment and completed in a few months.

Our California on-line verification system was built in just four month. In addition to working with the State we established a complete testing methodology with the insurance companies. We built a process to allow California to verify all test results before implementing any new insurance companies.

In New Mexico we completed the entire system in just three months. In this program we took over the operation from a previous vendor and had to make sure that all of the process steps could be completely replicated. We tested our results not only with State users but also against the results from the previous provider of these services.

Communicating with Insurance Companies

Validati has an insurance coordinator who is charged with establishing and maintaining the business relationship. We used this person to set up a process by phone and email to establish the proper access of insurance company data in California and New Mexico as well as the submission of insurance data. Responsibilities include tracking file submission, trouble shooting problems, monitoring program results, and managing changes and updates to insurance company programs. Testing schedules were established with minimum test records approved by each state to ensure results before going live. We have a detailed Quality Assurance checklist which is followed for each company prior to the launch. The Validati data coordinator receives a daily report showing the loads that were processed. Relevant statistics are displayed on the report allowing the data coordinator to investigate issues such as a high number of rejects. Insurance companies that do not send their data by the designated date will receive an

automated email. Various checks are in place during the load process as an audit control. Errors are sent back to the insurance company for resolution.

We have provided a reconciliation of the insurance companies in Arkansas to companies we currently do business with in other states. From the list of 406 NAICs provide by the state, Validati is currently doing business with Three Hundred Fifty-Eight (358) of the NAICs. Validati currently does not do business with thirteen (13) NAICs with one (1) NAIC being only licensed in Arkansas. Validati also researched thirty-four (34) NAICs, on the list, and found these NAICs to be invalid. No search results displayed when searched on the NAICs website (<https://eapps.naic.org/cis/companySearch.do>). Finally Validati located one (1) NAIC that was not licensed in Arkansas as of the 2017 Annual Report Please see Attachment_1 Current List of Insurance Companies for more information.

Requirement #5 in T1 Table 3

Maintaining and running a customer support center for answering questions and issues for state citizens regarding the online insurance verification process

Validati has operated a Call Center with over 100 employees specifically responding to customer inquiries for insurance verification programs for over 30 years. There are 5 PRI lines, 23 local switch service lines within each PRI (for domestic inbound/outbound and international calling) provided through Fidelity/Fusion.

Inbound calls are routed by Automated Call Distribution (ACD) software using the Noble – Maestro software. The Noble - Harmony software provides real-time/Wallboard ACD monitoring and on-line comprehensive historical reporting. Validati's long distance service is provided by Fidelity/Fusion.

Validati records 100% of all inbound and outbound calls using Nobles Harmony - Recording Playback module. At any time Validati can provide a file (In waive format) to our clients for listening purposes. Validati managers utilize the recorded calls for monitoring, quality assurance and training purposes

We run call centers for both Ohio and New Mexico. We have been providing Call Center services in Ohio since 2000 and in New Mexico since September 2011. Our agents access the on-line system to provide information on the status of suspensions or notifications received. We can also clear accounts. Agents and insurance companies can also call the centers on behalf of their clients.

We provided these services in California from 2006 through 2009. In addition to the above services, we were also responsible to process suspension fees for the State of California Vehicle Registration Verification Program. Validati took over 200,000 bilingual calls monthly for vehicle owners and their agents.

We have in place a call escalation process to ensure that issues are addressed with each of our state clients. Validati representatives know that when they have an irate caller for whom they are unable to satisfactorily handle the call they should transfer the call to the Supervisor or Manager of the Call Center. We document all escalated calls. Validati will set up a process with DFA to report these escalated calls to the State's Project Manager that details whenever we are unable to resolve an issue. This report will be delivered daily to the State Project Manager or the designee and will be available for online viewing through the system. The report will contain all required fields.

Validati has proven telephone technology including scripts and screens with trained Call Center Managers with industry experience who will support the Arkansas Online Insurance Verification System program

This meets Requirement #3 in T1 Table 3.

Experience with printing and mailing letters

Validati has its own Printing and Fulfillment Center where we have provided Mail operations and printing for all three state clients. Our XeroxDP125 laser printer can print 7,500 letters per hour and we can scan more than 400,000 documents per month,

The notification letters in Ohio have been produced for over 10 years. They include four different letters sent at various times in the verification process along with insertions.

In New Mexico we have sent two different letters at various points in the process along with insertions and return mail envelopes. We mail approximately 300,000 first notices annually in New Mexico. All of these notifications were produced and maintained through an approval process that requires signoff before being placed into production.

In California we mailed over 2.0 Million letters annually from 2006 through 2009 when we ran the Database Program for the state.

We also mail hundreds of thousands of letters for various other state programs. These letters deal with very sensitive tax information.

This meets Requirement #4 in T1 Table 3.

Below is a description of the New Mexico program to further illustrate how all of the required qualifications are demonstrated in this program.

New Mexico Vehicle Insurance Tracking and Compliance Program



Validati was selected in July 2011 and was operational tracking the 2.0 million vehicles for the State of New Mexico in September, 2011 covering all private passenger and commercial vehicles. Validati is still operating this program and uses no subcontractors. All of the communication systems were established, documentation was written, training with State staff, and all of the processes allowing for a successful launch were put in place in just three months. The program required customization to meet specific file requirements of the State as well as the portal to access the online information. Our dedicated project manager coordinated the effort internally and communicated with the state to finalize specifications and performance expectations. The new program was launched on schedule. This meets Requirement #2 in T1 Table 3.

Validati opened a remote office to support the program in New Mexico. This required hiring and training new staff as well as building the IVR's and other processing protocols to support the Customer Call Center and Technical Support Desk. Our call center processes Affidavits and Non-use documents to update for insurance compliance. Call Agents have the ability to suspend issuance of letters under certain conditions. Our agents access the on-line system to provide information on the status of suspensions or notifications received. We can also clear accounts. Agents and insurance companies contact the Call Center on behalf of their clients. The Call Center also provides State Technical and User Support. This meets Requirement #3 in T1 Table 3.

All letters were designed and the text was approved with New Mexico. A production schedule for issuance was implemented. Validati sends over 300,000 letters annually along with pre-printed material to drivers in the state. This meets Requirement #4 in T1 Table 3

Validati set up a database of all insurance companies in the state with appropriate contact and transmission information. A User Manual was developed for the carriers to ensure they followed the standard protocol for submission. A process for testing was documented and approved by the State. All carriers were on-boarded after proper testing for compliance.

Validati is responsible for the receipt of insurance files to populate the insurance database. We use this database to match with the registration database we receive weekly from New Mexico. Based on the results of this matching, letters are generated to the non-compliant drivers. This meets Requirement #5 in T1 Table 3.

We provide a web portal for access to the online systems. This site allows direct access to the insurance database by State users twenty four hours each day seven days a week. Drivers and agents have the ability to provide information on vehicle and assist in processing commercial coverage. Small carriers and Agents can use an Excel File to provide insurance information. This meets Requirement #1 in T1 Table 3.

The program provided for an initial two-year contract followed by 3 possible two-year renewals. We were awarded all renewals. As part of our current renewal we launched a new program to accommodate the re-write of the states DMV system. That new implementation took place in 2017. Validati believes this meets the requirement of an online program implemented in the last five (5) years. This meets Requirement #2 in T1 Table 3.

2.0 Prospective Contractor Reference

To realize the objectives stated as part of the RFP, the State of Arkansas is issuing this RFP to contract with a Contractor who has experience implementing an Online Insurance Verification and Processing System. As such, the State has established mandatory qualifications that **must** be met in order to submit a proposal to this RFP, see Section 2.4 of the RFP.

To satisfy this requirement, include one (1) reference (for the Prime Contractor) of a project that is of similar size, complexity and scope to this engagement, which currently in use and implemented in the last five (5) years. The reference chosen should clearly demonstrate the Prospective Contractor’s ability to perform the Scope of Work described in the RFP.

Instructions: Provide the information requested in the Table below. The Table may be replicated if the Prospective Contractor would like to include more than one (1) references. Do not change any of the completed cells. Any changes to the completed cells could lead to the rejection of the Proposal.

Table 1. Reference

PROSPECTIVE CONTRACTOR INFORMATION	
Name: PASCO INC., d/b/a Validati	Contact/Name: <i>Scott Keller</i>
Project Dates: <i>July, 2011 thru Sept 2019</i> <i>Sept 2017-Sept 2019 (Renewal)</i>	Contact Phone: <i>330.655.7202</i>
CUSTOMER INFORMATION	
Customer Organization: <i>New Mexico Vehicle Insurance Tracking and Compliance Program</i>	Customer Contact Name: <i>Mr. Frank Garcia</i>
	Customer Phone: <i>505.383.2353</i>
Customer Address: <i>State of New Mexico Taxation and Revenue Department</i> <i>MVD Financial Responsibility Section</i> <i>505 Marquette Avenue, NW</i> <i>Suite 1500</i>	Customer Email: <i>Frank.garcia@state.nm.us</i>
	Customer Fax: <i>505.383.2371</i>
PROJECT INFORMATION	
Total Prospective Contractor Staff:	12
Project Objectives: <i>Provide a process to identify and reduce the number of uninsured motorist in the state. The process must follow all state regulations, rules and protocol.</i>	

Project Description: *The Program requires the matching of insured motor vehicles to the registration database and mailing notices to the registered owners of identified uninsured vehicles. It also includes the online insurance reporting system, training materials, system installation, operating manuals and implementation of a Call Center to support all activities*

Prospective Contractor's Involvement (Role and Scope): *Validati is responsible for the insurance database, sends all notifications, manages a remote Call Center, and hosts a web site for drivers, insurance companies and their agents called www.driveinsured.com. Our technology team oversees all internal technology and the performance of the web-site. This site allows direct access to the insurance database by State users twenty-four hours each day seven days a week. Drivers and agents provide information on vehicles which can be used to delay issuance and assist in processing commercial coverage.*

PROSPECTIVE CONTRACTOR KEY PERSONNEL ASSIGNED TO PROJECT

Name: Peter A. Spitalieri, President/Owner	Role: Project oversight
Name: Scott A. Keller, Account Manager	Role: Primary point of contact, administrative performance reporting

PROJECT MEASUREMENTS

Estimated Start & Completion Dates	From:	July, 2011	To:	Sept, 2019
Actual Start & Completion Dates	From:	July, 2011	To:	Sept, 2019

Reason(s) for Difference Between Estimated and Actual Dates:

If the Prospective Contractor performed the work as a subcontractor, the Prospective Contractor should describe the scope of subcontracted activities:

Validati is the Prime Contractor

2.1 Subcontractor References (If applicable)

If the Proposal includes the use of subcontractor(s), include at least one (1) reference (for each subcontractor proposed) from scopes of work equivalent to the scope of work proposed of the subcontractor in the Proposal. The reference chosen should clearly demonstrate the subcontractor's ability to perform the relevant portion of work requested in the RFP (the State has established mandatory qualifications that must be met to submit a proposal as stated in Section 2.3 of the RFP), and proposed by the Prospective Contractor.

Instructions: Provide the information requested in the Tables below. Replicate the Table if more than one (1) references are desired. Do not change any of the completed cells. Any changes to the completed cells could lead to the rejection of the Proposal.

Table 2. Subcontractor Reference

SUBCONTRACTOR INFORMATION	
Subcontractor Name:	Subcontractor Contact/Name:
Project Dates:	Subcontractor Contact Phone:
CUSTOMER INFORMATION	
Customer Organization:	Customer Contact Name:
	Customer Phone:
Customer Address:	Customer Email:
	Customer Fax:
PROJECT INFORMATION	
Project Objectives:	
Project Description:	
Subcontractor's Involvement (Role and Scope):	
SUBCONTRACTOR KEY PERSONNEL ASSIGNED TO PROJECT	
Name: (Add more rows as needed)	Role: (Add more rows as needed)

State of Arkansas Department of Finance and Administration
Online Insurance Verification System
RFP #: SP-18-0132
Template T-2 – Prospective Contractor Experience

Name: (Add more rows as needed)		Role: (Add more rows as needed)	
PROJECT MEASUREMENTS			
Estimated Start & Completion Dates:		From:	To:
Actual Start & Completion Dates:		From:	To:
Reason(s) for Difference Between Estimated and Actual Dates:			

3.0 Legal Considerations

3.1 Existing Business Relationships with the State of Arkansas

Instructions: Describe any existing or recent (within the last five (5) years) business relationships the Prospective Contractor or any of its affiliates and proposed subcontractors has with the State.

Validati has no existing or past relationship within the last 5 year with the State. This includes Validati's parent PASCO and any of its affiliates or companies owned by PASCO.

3.2 Business Disputes

Instructions: Provide details of any pending litigation or contracts Terminated for Cause or Convenience and associated reasons in which the Prospective Contractor has been a party within the last five (5) years. This should be limited to litigation or contract termination for the implementation and/or maintenance and operations of an online insurance verification system.

PASCO received a Notice of Award from the Texas Department of Insurance ("TDI") in 2015. A losing bidder filed a protest to the award objecting to the subcontractor used by PASCO, which was the losing bidder's subcontractor under the previous contract with TDI. The protest claimed that PASCO had access to confidential TDI information by using the subcontractor as part of its bid. PASCO denied this assertion and further assured TDI that all the information it used for its bid was based upon experience and the information publicly available. Rather than evaluate the actual information contained in the bid to see if it contained confidential information, TDI stated that they could not determine what PASCO learned from its subcontractor and cancelled the award and rebid it stating that the situation created an appearance of impropriety.

Template T-3
Prospective Contractor Staffing
Response Template

RFP #: SP-18-0132

Table of Contents

1.0 Prospective Contractor Key Personnel	3
1.1 Subcontractor Key Personnel	6
2.0 Resumes	8
3.0 Staffing Plan	25
4.0 Staff Retention	28

1.0 Prospective Contractor Key Personnel

The Prospective Contractor should identify Key Personnel for the Engagement, as described in the RFP, including:

- Name
- Position in Prospective Contractor organization
- Proposed role on Engagement
- Focus of work effort
- % of time for that work effort
- Experience in the proposed role
- Qualifications for the proposed role
- Role in the last project

Instructions: Complete the following Table detailing the Key Personnel identified for this Engagement. Add rows as necessary. Do not change any of the completed cells. Any changes to the completed cells could lead to the rejection of the Proposal.

Table 1. Prospective Contractor Key Personnel

NAME	POSITION IN ORGANIZATION	PROPOSED ROLE ON ENGAGEMENT	FOCUS OF WORK EFFORT	% OF TIME FOR THAT WORK EFFORT	EXPERIENCE IN PROPOSED ROLE (YEARS)	QUALIFICATIONS FOR PROPOSED ROLE	ROLE IN LAST 3 PROJECTS
Peter A. Spitalieri	President	Project Oversight	Deliverables Managed	15%	32 Years	Managed dozens of projects with similar scope	Deliverables Managed
Scott A. Keller	V.P. Administrative Services	Compliance and Account Management	Contract Compliance; Account Management	15%	32 Years	Serves in this role for three other State Contracts	Compliance and Account Management
Sherry L. Rasmusen	Manager, Operations	Manages Call Center Activities	Management of Call Center Activities	75%	25 years	Has managed Client Contact Center and support areas for entire career	Installed new Call Center for each State tracking Client
Dennis E. Duffield	V.P. Information Services	Project Management	Project Implementation	50%	27 Years	Manages all aspects of online verification; significant project implementations	Project Management
Frank D. Peden	Senior Software Engineer	Technical Lead	Oversight of Technical Development	75%	14 Years	Manages all technology for State Online Verification Systems	Technical Lead for major installs and re-write
Vincent L. Spitalieri	Director Business Services	Information Security Officer	Data Security Compliance and analysis	75%	6 Years	Manages all State databases for reporting and Security Compliance	Implementation of all reporting and database security for three government contract installations
Megha Gowen	Software Engineer	Developer	Technical Development of Online Verification Systems	75%	4 Years	Developer of all state online verification systems	Design and development of major State software projects
Aaron J. Salguero	Manager, Technical Support	Technical Support	Insurance coordinator, design and testing, technical help desk	75%	1 Year	Technical Support for insurance companies supporting insurance verification programs and Level I help desk support	Testing and implementation software upgrades and new insurance company onboarding

State of Arkansas Department of Finance and Administration
Online Insurance Verification System
RFP #: SP-18-0132
Template T-3 – Prospective Contractor Engagement Organization and Staffing

Christian G. Bovenzi	Systems Analyst	Systems Analyst	Design, testing and report construction, and monthly reporting	75%	1 Year	Reporting systems and testing software upgrades	Testing and implementation software upgrades and development of new reports
Charles A. Spitalieri	Manager, Support Services	Printing and Fulfillment	Manages all activities supporting printing and fulfillment	75%	28 years	Significant experience managing form production and fulfillment for government and large corporate clients	Developed forms and all production processes for each project

1.1 Subcontractor Key Personnel

The Prospective Contractor should identify the Subcontractor Key Personnel for the Engagement including:

- Name
- Position in subcontractor organization
- Proposed role on Engagement
- Focus of work effort
- % of time for that work effort
- Experience in the proposed role
- Qualifications for the proposed role
- Role in the last project

This section should also detail the past work each listed person has had with the Prospective Contractor or their staff.

Instructions: Provide a listing of the Subcontractor Key Personnel. This Table should be replicated for each Subcontractor used. Add rows as necessary. Do not change any of the completed cells. Any changes to the completed cells could lead to the rejection of the Proposal.

Table 2. Subcontractor Key Personnel

NAME	POSITION IN ORGANIZATION	PROPOSED ROLE ON ENGAGEMENT	FOCUS OF WORK EFFORT	% OF TIME FOR THAT WORK EFFORT	EXPERIENCE IN PROPOSED ROLE (YEARS)	QUALIFICATIONS FOR PROPOSED ROLE	ROLE IN LAST 3 PROJECTS

2.0 Resumes

The Prospective Contractor should attach professional resumes of all proposed Key Personnel to this section of the Proposal.

Each resume should demonstrate experience germane to the position proposed. The resume should include work on projects cited under the Prospective Contractor's corporate experience, and the specific functions performed on such projects.

Instructions: Provide a resume for each proposed Key Personnel.

Name: Peter A. Spitalieri
Title: PASCO, President and Owner
Email: Spitalieri@pasco-group.com
Phone: 330.655.7202
Fax: 330.655.7012

PROFESSIONAL EXPERIENCES

PASCO, President and Owner

1982 – Present

Mr. Spitalieri has successfully operated PASCO as President and Owner. PASCO has provided insurance tracking services to government and financial institutions, as well as, various other information services and software solutions to Fortune 500 companies, automobile dealerships, and government entities. Mr. Spitalieri was responsible for the design and implementation of Validati's first insurance tracking system and has managed all aspects of the organization since its inception. He has acted as the primary client contact for Validati's major clients and directed the implementation of many major client installations for both government agencies and major lenders. Mr. Spitalieri was instrumental in developing the insurance data transmission standards currently used by many major insurance companies. With more than 30 years' experience designing and developing insurance tracking and verification systems for lenders and state government, Mr. Spitalieri is considered one of the leading experts in this field in the United States.

Progressive Insurance Company, Director of the Credit Related Division **1980 – 1982**

Began career as a Financial Analyst then in various operating positions within the credit related division. Mr. Spitalieri developed the Insurance Tracking Program for Progressive and eventually became the Director of the Credit Related Division. His responsibility included all sales and service for Progressive's products sold to financial institutions. He was also responsible for the operations, which included a Call Center with over 100 associates supporting the insurance tracking programs.

General Motors, Packard Electric Division, Financial Analyst

1979 - 1980

Completed numerous projects related to acquisitions and divestitures.

EDUCATION, TRAINING AND RELEVANT EXPERIENCE

M.B.A. from the University of Pennsylvania, Wharton School of Business

1979

B.S. degree in Mathematics and Economics from Hiram College

1977

PROFESSIONAL ACCREDITATIONS, CERTIFICATIONS, DESIGNATIONS AND LICENCES

None

PERSONAL

Mr. Spitalieri has been married for over 40 years to his wife Celeste. He has four children and five grandchildren. Mr. Spitalieri has been involved in many civic, social and charitable causes within the northern Ohio community.

Specific Responsibilities on Insurance Verification Projects

Mr. Spitalieri has significant experience in the design and development of many major insurance verification programs both at Validati and Progressive. He has participated in industry groups establishing reporting standards. Mr. Spitalieri has worked on statistical modeling of data to analyze program performance. Mr. Spitalieri successfully managed the implementation phases of all four state Insurance Verification Programs. This included meeting all Project deliverable dates, deploying the resources to accomplish the implementation, and the documentation of the programs. He continues to be responsible for the Performance Standards for these programs and participates in all Change Management decisions.

Proposed position in Arkansas Online Insurance Verification System

Mr. Spitalieri will oversee design, development, and ongoing performance of the entire system. Both the Account Manager and Project Manager will report directly to Mr. Spitalieri. Mr. Spitalieri will ensure that all staffing plans are compliant with the requirements to ensure Performance Standards. He will serve as the main analyst monitoring performance against the standards and identifying opportunities for program improvement.

Name: Scott A. Keller
Title: Vice President, Administrative Services
Email: Skeller@pasco-group.com
Phone: 330.655.7233
Fax: 330.655.7012

PROFESSIONAL EXPERIENCES

PASCO, Vice President, Administrative Services 1986 - Present

Mr. Keller has served in a variety of operations and administrative management positions. Key experiences include: managed staff of Customer Services Representatives for various insurance tracking and compliance programs; managed internal Auditing and Quality Assurance Departments; provided test plans and testing of all changes to internal product systems, including the tracking products; and telephone (inbound and outbound) design, development. Mr. Keller has managed a variety of data entry services; managed incoming and outbound mailroom and fulfillment department for insurance tracking activities.

EDUCATION, TRAINING AND RELEVANT EXPERIENCE

B.S. degree in Business Administration from The University of Akron 1987

Mr. Keller has had experience overseeing the quality aspect of our results with database matching for our insurance compliance programs. He has also had responsibility for client interaction, including the management of performance of the program versus expected results. Mr. Keller has been an active participant with the AAMVA and IICMVA organizations.

PROFESSIONAL ACCREDITATIONS, CERTIFICATIONS, DESIGNATIONS AND LICENCES

None

PERSONAL

Mr. Keller is married and has two children, two step children and one grandson. Mr. Keller is involved in numerous community and church activities.

Specific Responsibilities on Insurance Verification Projects

Mr. Keller has significant experience with large project start up during his tenure with Validati. He has been a member of the IICMVA and the AAMVA organizations and regularly attends their respective conferences. He has directed Insurance Verification Operations (Call Center) as well as overall administrative and client program reporting with regards to contract compliance and account management. His account management responsibilities include the State of New Mexico, and the State of Ohio Insurance Verification Programs.

Proposed position in Arkansas Online Insurance Verification System

Mr. Keller will be the Account Manager that will oversee design, development, and the ongoing administrative performance reporting including contract compliance of the Arkansas Online Insurance Verification System. He will be the primary point of contact for the project following "go live" for the State of Arkansas.

Name: Sherry L. Rasmussen
Title: PASCO, Manager, Operations
Email: rasmusen@pasco-group.com
Phone: 330.655.7232
Fax: 330.655.7012

PASCO, Manager, Operations

2008 - Present

Responsibilities include operation's management and the daily functioning of the call center. Additional responsibility includes ensuring that all insurance tracking procedure manuals are current and are being followed, analyzing quality results and providing reporting, recommending and executing changes to procedures, training all employees supporting the insurance tracking functions, handling client requests and communications, and final user acceptance testing.

PASCO, Assistant Manager, Insurance Tracking Services

2008 - Present

Assisted operation's management in the daily functioning of the call center. Responsibilities included interacting with various departments, training new employees, answering employee questions, monitoring and evaluating data and offering suggestions to improve operating functions.

PASCO, Product Improvement Specialist

2006 – 2008

Performed special projects to improve operating processes for the insurance tracking products. Responsibilities included monitoring and evaluating data, developing and implementing operating procedures, interacting with various departments and training employees

PASCO, Senior Supervisor, Operations

1998 - 2006

Assisted in the supervision of employees in the call center. Responsibilities included training new employees, answering employees' questions, auditing data entry and customer telephone calls, offering suggestions to improve operating procedures and providing written summaries of work performed.

PASCO, Supervisor

1993 - 1998

Supervised daily operation of production areas and trained new employees. Responsibilities included reviewing employee audits, incoming call management and all aspects of a two week training program for new employees, which required maintaining training materials, conducting training and annual reviews of the training materials.

PASCO, Auditor

1991 – 1993

Customer Service Representative

1990 - 1991

EDUCATION, TRAINING AND RELEVANT EXPERIENCE

B.S. Degree in Recreation & Leisure Services/Outdoor from Kent State University 1988

Mrs. Rasmussen has been involved in all significant projects testing changes to the Validati software used to receive insurance records and match them to the databases for clients in the last five years. She has also written significant amounts of the documentation used by our clients and in-house personnel who interact with the databases.

PROFESSIONAL ACCREDITATIONS, CERTIFICATIONS, DESIGNATIONS AND LICENCES

None

PERSONAL

Mrs. Rasmussen is married with three sons. Mrs. Rasmussen is a Troop Committee Chair, Assistant Round Table Commissioner – Cub Scouts, has served on staff for Wood Badge – Adult Leadership training, and has served as a Friends of Scouting representative with the Boy Scouts of America – Lake Erie Council. She is also a member of the Kent State University Marching Golden Flashes Alumni Band and the Garfield Heights High School Band Boosters.

Specific Responsibilities on Insurance Verification Projects

Mrs. Rasmussen has significant experience with large client contact call center start-ups as well as the daily management of the call center after “go live.” During her tenure with Validati she has performed this function for the states of Ohio, California and New Mexico. Mrs. Rasmussen has also extensive experienced with operational testing and procedural documentation.

Proposed position in Arkansas Online Insurance Verification System

Mrs. Rasmussen will be the Operations Manager for the Call center for the Arkansas Online Insurance Verification System. Her focus will be to ensure that all service standards are met, employee training and procedural enforcement.

Name: Dennis E. Duffield
Title: PASCO, Vice President, Information Services
Email: duffield@pasco-group.com
Phone: 330.655.7201
Fax: 330.655.7012

PROFESSIONAL EXPERIENCES

PASCO, Vice President, Information Services

2010 - Present

Mr. Duffield is responsible for the direction of the technical staff, software development, systems and network management; lead the implementation of a revised technological direction by implementing (.NET) and Agile based development processes as part of the insurance servicing software rewrite; implemented infrastructure improvements in network and data center domains, which enabled business diversification in parallel with ongoing production with no operational impacts; improved fiscal performance of the technology group through offshore service implementation, software/hardware contract streamlining, and elimination of redundant services. Mr. Duffield serves as the corporate Project Manager for all technology projects and large corporate efforts as well. These include the launch of the New Mexico IIDB Financial Responsibility system, a recent upgrade of the IIDB, expansion of the CA VIP OLV program, enhancements to the Ohio BMV Financial Responsibility program and most recently facility moves for the company.

H&R BLOCK Inc., Director, Technology – EFile

2004 - 2010

Directed technical and industry staff of 80 professionals in the application development, systems/network management, and financial product support services for the product lines of H&R Block, reporting to the VP–Application Development. Site leader for the Columbus, Ohio remote location. Achieved a 32% reduction in associate resource labor and 20% reduction in site budgets through process and product improvements. Developed new tax season operational model that improved KPI achievement percentage, by shifting staffing to lower cost resources, automation improvements, and sun setting of legacy applications. Instituted process improvements in the application development space that netted core quality improvements, SLA achievement, GDC sourcing capabilities. Accountable for the project delivery of revenue driving initiatives (including Emerald Card launch), annual regulatory modifications and mandated compliance activities (SOX, PCI, Data Privacy).

PASCO, Vice President, Technology

1991 - 2004

Vice President – Technology (2003 – 2004) Directed technical staff responsible for software development, systems and network management, and business support services for all PASCO Companies and Divisions. Staff consisted of 3 product managers, 8 developers, 2 technical managers, computer operations, and help desk personnel. Lead the implementation of a revised technological direction by implementing (.NET) and Agile based development processes as part of the insurance servicing software rewrite. Implemented infrastructure improvements in network and data center domains, which enabled business diversification in parallel with ongoing production with no operational impacts. Improved fiscal performance of the technology group through offshore service implementation, software/hardware contract streamlining, and elimination of redundant services.

ATEK Information Services, Inc., Project Leader, Quality Assurance 1988 – 1991

Established Quality Assurance methods and procedures for the product suites of the company. Established release management process for the Tax products used in many counties in the State of Ohio.

EDUCATION, TRAINING AND RELEVANT EXPERIENCE

B.A. degree in Information Systems Management from Tidewater Community College

US Navy Campus Program, Virginia Beach, VA Computer Science, Application Courses
Community College of the Air Force US Navy Naval Training Center, San Diego, CA Data Processing Technician "A" School

PROFESSIONAL ACCREDITATIONS, CERTIFICATIONS, DESIGNATIONS AND LICENCES

PMI Institute – Course work completed

PERSONAL

Mr. Duffield is married with 4 grown children and 6 grandchildren.

Specific Responsibilities on Insurance Verification Projects

Mr. Duffield has significant experience in the design, development and operations of the insurance verification programs at Validati. In addition to managing the development, testing and launch of these programs, he has directed Insurance Verification Operations and industry/client program management. He has ongoing operational and account management responsibilities for the State of New Mexico and State of California programs. Mr. Duffield served as the Project Manager on both of these programs.

Proposed position in Arkansas Online Insurance Verification System

Mr. Duffield will be the Project Manager for the implementation of the Arkansas Online Insurance Verification System. His responsibilities encompass the design, development and deployment of the solution, as well as implementing the necessary ongoing program management processes. He will be the single point of contact for the project for the State of Arkansas.

Name: Frank D. Peden
Title: PASCO, Senior Software Engineer
Email: peden@pasco-group.com
Phone: 330.655.7002
Fax: 330.655.7012

PROFESSIONAL EXPERIENCES

PASCO, Senior Software Engineer **2012-Present**

Senior Software Engineer working on automated systems for the verification of insurance on vehicles for banks and state government. Developed online Web Services software using IBM RAD, WebSphere and DB2 for California DMV, using IICMVA standards. Developed insurance tracking software for the State of Ohio. Maintained and improved on insurance tracking software for State of New Mexico using MS .NET software tools. Senior engineer for all insurance verification products.

Micro-Office Systems, Inc., Software Engineer **2004 - 2012**

Full software development lifecycle management of custom web portals for medical businesses giving their customers greater visibility into the billing process of their clients and patients. Product Manager for data conversion and custom projects, including quoting, defining requirements, assigning resources, tracking progress, and communication with customers. Managed an international team of 5 developers in multiple countries.

S&P Solutions, Consultant **2003 - 2004**

Enhanced a warehouse management system for a large manufacturing company to improve processes and reduce scrapped product. System is composed of RS6000/AIX and Sybase SQL Server backend using RF terminals. Wrote program specifications. Coded programs in C and stored procedures in Sybase Transact SQL. Wrote test plans. Wrote user conversion and implementation plans.

Keane Inc., Senior Consultant, **1997 - 2003**

Delivered both a stable and maintainable environment for global sales and marketing, business management, and regulatory compliance sectors of a large pharmaceutical company. Modified applications to meet new requirements. Led problem root cause analysis and remediation. Assisted in re-engineering business processes. Gathered requirements, wrote Statements of Work, prepared Estimates and Project Plans, composed Test Plans, coded, tested, implemented, tracked and resolved issues, developed unit and system documentation, and tracked project progress against project plan.

EDUCATION, TRAINING AND RELEVANT EXPERIENCE

M.Div. Masters of Divinity from Andrews University **1997**

B.S. degree in Mathematics from Columbia Union College **1988**

TECHNICAL SKILLS

Methodologies/Techniques: Keane Productivity Management (PM); Keane Project Estimating and Risk Management (PERM); Keane Application Management Methodology (AMM); Software Engineering Institute (SEI) Capability Maturity Model (CMM); the complete Systems Development Life Cycle (SDLC)

Development Tools/Languages: C#, .Net, Visual Basic, VBA, ASP, HTML, VBScript, JavaScript, PowerBuilder, C, C++, Perl, COBOL, SQL, PL/SQL, SAS, JCL, Shell Script (Unix/Linux Bash, Bourne, Korn, and C shells), Visual SourceSafe, SVN, Visio

Databases: MS SQL Server, Sybase SQL Server, Sybase SQL Anywhere, MySQL, DB2, Oracle, MS-Access, Pervasive SQL, Cache, ODBC, OLE DB, ADO, Postgres SQL

Hardware: PC, Macintosh, IBM Mainframe, various Unix platforms

Operating Environments: MS Windows XP, Vista, 7, Server 2003, Server 2008, Server 2012; Linux (Redhat, CentOS); Unix; IBM MVS (OS/390, TSO); MS DOS; Mac OS

Support Tools: MS Office, MS Project, InfoAtHand, RT, OnTime, WordPerfect, Skype

Applications: Insurance Verification, Medical Billing, EMR/EHR, ETL, Product Samples and Promotional Materials distribution and management, Promotional program funding, Product pricing, Product recall, Sales reporting, Medical office automation, Tax processing

Industries: Medical/Health, Pharmaceutical, Manufacturing, State Government, Federal Government, Academic

PROFESSIONAL ACCREDITATIONS, CERTIFICATIONS, DESIGNATIONS AND LICENCES

Microsoft Certified Professional – Querying Microsoft SQL Server **2015**

Microsoft Certified Professional – Administering Microsoft SQL Server **2017**

PERSONAL

Mr. Peden is married with 4 children. Mr. Peden is an active instructor for the Akron Crusaders Pathfinder club. (Pathfinders is an international church-based scouting organization for boys and girls. Mr. Peden is a volunteer teacher and musician at his local church.

SPECIFIC RESPONSIBILITIES ON INSURANCE VERIFICATION PROJECTS

Mr. Peden has been the principal software engineer responsible for all new tracking development, enhancements and modifications to our insurance tracking products. Mr. Peden has had responsibility for all aspects of the development cycle.

PROPOSED POSITION IN ARKANSAS ONLINE INSURANCE VERIFICATION SYSTEM

Mr. Peden will oversee software design, development, and ongoing performance of the entire software system. Mr. Peden will have responsibility for all software deliverables before they are released into testing and production to ensure compliance and all functional requirements. He will serve as the main engineer monitoring system performance and identifying opportunities for performance improvements after launch.

Name: Vincent L. Spitalieri
Title: PASCO, Director, Business Services
Email: spitalieriv@pasco-group.com
Phone: 330.655.7216
Fax: 330.655.7012

PROFESSIONAL EXPERIENCES

PASCO, Director Business Services **2008 - Present**

Manage relationships with financial institution and state governments for Validati's insurance verification programs. Manages current relationships with insurance company partners. Manage and analyze all data supporting insurance tracking clients. Monitor and control system access and reporting of security violations or any security breaches. Identify and control the access to the data. Review current information security policies, standards, and procedures for compliance. Attend all industry specific seminars to ensure knowledge and input into insurance reporting standards.

Comandamo Noi, LLC., President **2006 - 2008**

Managed a portfolio in excess of 150 acres for the development and resale of vacant land in Arizona, California, and New Mexico. Secured government proceeds for owners. Work with state and county officials on foreclosures, tax deed, and tax certificate sales.

PNC Bank N.A. (National City Bank), Portfolio Manager **2005 - 2006**

Managed a portfolio of 26 bank clients with a total financing commitment of \$460 million. Portfolio includes The Cleveland Browns Football Company, The Cleveland Indians Baseball Company, Lincoln Electric Holding Company, Forest City Enterprises, in addition to other public and privately held companies. Attended customer calls, client events, and treasury management reviews with senior relationship officers.

Portfolio Manager, Credit Analyst **2003 - 2005**

Prepared credit underwriting approval and review reports for corporate banking clients with relationship exposures up to \$120 million. Analyzed industry and competitive trends, company specific financials, and external analyst reports in developing underwriting documents.

EDUCATION, TRAINING AND RELEVANT EXPERIENCE

B.S. degree in Economics from John Carroll University **2002**

Mr. Spitalieri attends industry conference discussing best-in-class services related to the insurance companies reporting and database matching. Mr. Spitalieri has been our chief analyst of this data.

PROFESSIONAL ACCREDITATIONS, CERTIFICATIONS, DESIGNATIONS AND LICENCES

The State of Ohio – Major Lines - Licensed Insurance Agent, Ohio License Number: 807933.

PERSONAL

Mr. Spitalieri is married with two children. Mr. Spitalieri was a 4-time varsity starter for the John Carroll Wrestling team.

Specific Responsibilities on Insurance Verification Projects

Mr. Spitalieri has significant experience managing our Internal Security Program for State Government Clients of Validati. He participates in the Insurance Industry Committee on Motor Vehicle Administration (“IICMVA”) and maintains business relationships with insurance companies throughout the United States. Mr. Spitalieri has worked on improving Physical Safeguarding and participated in IRS 1075 certification audit.

Mr. Spitalieri serves as the Primary Security Contact, identifying and controlling the access to the data for each of our Insurance verification programs. He is the gatekeeper for personnel access, assigns security responsibilities and manages the authorized controls for access of workstations and related equipment. All risk analysis and management, documentation management and controls, information access controls and sanctions for failure to comply are managed and reported by Mr. Spitalieri. Mr. Spitalieri was responsible for all Security Controls implemented for the New Mexico Online Verification Program

Proposed position in Arkansas Online Insurance Verification System

Mr. Spitalieri will design, develop, and implement The Data Security Plan that outlines the process of reporting security violations, security breaches, or any attempts to gain access to the system. Mr. Spitalieri will serve as the primary security contact and be available to assist the State twenty-four (24) hours per day, seven (7) days per week as a contact in resolving obligations associated with a Security Breach. Mr. Spitalieri will also be responsible to design and develop all reporting for DFA to manage the program and analyze results

Name: Megha Gowni
Title: PASCO, Software Engineer
Email: mgowni@pasco-group.com
Phone: 330.655.7235

PROFESSIONAL EXPERIENCES

PASCO, Software Engineer

2015 – Present

Ms. Gowni started working as a Computer Programmer Analyst and then as Software Engineer for PASCO. Her key responsibilities include analyzing business requirements, designing and developing new software solutions, recognizing and fixing software errors by software debugging, reviewing code developed by team members and writing test plans and executing test cases as part of software quality assurance. Her responsibilities also include building SSRS reports to analyze client data, install software solutions and production support. Ms. Gowni supports changes to the insurance verification programs for California and New Mexico.

Focus Pointe Global, Junior Software Engineer

2015

From June to August 2015, Ms. Gowni worked as a Junior Software Developer with Focus Pointe Global in Philadelphia. There, Ms. Gowni was responsible for designing, developing and supporting software solutions. She built an additional tool to core business application using asp.net MVC 5 framework which increased the productivity. Her responsibilities also included Software debugging, documentation and Software testing.

Accenture, Associate Software Engineer

2013 - 2014

Began career as an Associate Software Engineer and worked on multiple projects. Her responsibilities included analyze business process, document requirements, develop and execute test cases. She was also responsible to perform smoke testing and Regression testing.

EDUCATION, TRAINING AND RELEVANT EXPERIENCE

M.S in Software Engineering from Cleveland State University, Ohio

2015

B.S. degree in Computer Science from JNTU, India

2013

PROFESSIONAL ACCREDITATIONS, CERTIFICATIONS, DESIGNATIONS AND LICENCES

None

PERSONAL

Ms. Gowni lives in Cuyahoga Falls, Ohio. Ms. Gowni has been involved in many social and charitable events within the community.

Specific Responsibilities on Insurance Verification Projects

Ms. Gowni has significant experience in the design and development of software solutions for insurance verification programs at Validati. She has worked as software engineer on multiple projects for the programs in California and New Mexico.

Proposed position in Arkansas Online Insurance Verification System

Ms. Gowni will be the primary development resource assigned to the development effort in support of the Arkansas implementation.

Name: Aaron J. Salguero
Title: Manager, Technical Support
Email: salguero@pasco-group.com
Phone: 505.243.2495
Fax: 505.243.6605

PROFESSIONAL EXPERIENCES

PASCO, Manager, Technical Support **2017 - Present**

Responsibilities include managing the Validati Technical Help Desk, managing the installation and ongoing reporting of Insurance Companies supporting the insurance tracking business including testing and onboarding; member of internal Operations team and responsibility for User Testing.

Sitel Operating Corporation, Coach **2009-2017**

Assisted agents by ensuring employees were following performance standards without issue. Handled all escalated calls. Managed a team varying in size from 10-15 agents. Overall responsibility for service compliance and management of the service operation.

Wienerschnitzel, Team Member **2008-2009**

Responsible for order entry and customer support.

EDUCATION, TRAINING AND RELEVANT EXPERIENCE

*Electrical engineering
New Mexico State University - Las Cruces, NM
August 2009 to June 2012*

PROFESSIONAL ACCREDITATIONS, CERTIFICATIONS, DESIGNATIONS AND LICENCES

None

PERSONAL

Mr. Salguero is single. His hobbies include long distance shooting, photography, and rifle and pistol kit building

Specific Responsibilities on Insurance Verification Projects

Mr. Salguero has been the data coordinator with the insurance companies managing file receipt, quality, and compliance for the New Mexico FRS Program. Mr. Salguero also has the lead responsibility in testing and on-boarding of new insurance companies.

Proposed position in Arkansas Online Insurance Verification System

Mr. Salguero will provide LI Help Desk support and act as the coordinator with the insurance companies managing file receipt, quality, and compliance for the Arkansas Online Insurance Verification System. Mr. Salguero will also participate in the design, testing and the on-boarding of new insurance companies added to the Arkansas Online Insurance Verification System.

Name: Christian G. Bovenzi
Title: PASCO, Systems Analyst
Email: Bovenzi@pasco-group.com
Phone: 330.655.7238
Fax: 330.655.7012

PROFESSIONAL EXPERIENCES

PASCO, Systems Analyst **2018 - Present**

Develop and deliver insurance verification system reporting. Support internal functions and conduct corporate audits and business process testing.

McCaulley & Company, Consulting Intern **2017-2018**

Duties include research, client outreach, data analysis, and intelligence gathering

EDUCATION, TRAINING AND RELEVANT EXPERIENCE

M.B.A from John Carroll University **2018**

B.A. degree in Political Science from John Carroll University **2017**

PROFESSIONAL ACCREDITATIONS, CERTIFICATIONS, DESIGNATIONS AND LICENCES

None

PERSONAL

Mr. Bovenzi is single and an active volunteer of:

- o Humane Society of Greater Rochester at Lollypop Farm: clerical work*
- o Ronald McDonald House Charities: landscaping and yard work*
- o Monroe Community Hospital (Rochester, NY): patient transporter*
- o American Cancer Society: fundraiser and participant in Annual Making Strides Against Breast Cancer Walk*

Specific Responsibilities on Insurance Verification Projects

Mr. Bovenzi's provides well-organized and thorough Level III Project Testing documentation as well as analyzing daily, weekly, monthly and quarterly reporting for insurance verification clients. Mr. Bovenzi has significant knowledge in the use of Microsoft Excel for building and maintaining, Management Information Systems (MIS) and modeling.

Proposed position in Arkansas Online Insurance Verification System

Mr. Bovenzi will be the System Analyst responsible to develop all internal and external/client reports to illustrate performance and success of the Arkansas Online Insurance Verification System. He will also participate in design and final User Acceptance testing.

Name: Charles A. Spitalieri
Title: PASCO, Manager, Support Services
Email: CAS@pasco-group.com
Phone: 330.655.7200
Fax: 330.655.7012

PROFESSIONAL EXPERIENCES

Manager, Support Services **2004 - Present**
Responsible for PASCO inbound and outbound mail processing, including printing, scanning and mail fulfillment tasks for all PASCO companies. Responsible to work with clients to develop new requirements and ensuring successful integration into the ongoing production process.

Manager, Mailroom **1998-2004**
Performed special projects to improve operating processes. Responsibilities included ensuring that inbound mail was opened and prepared for data entry processing, and scanning and outbound mailings were completed on time. Responsibilities also included weekly reporting and interacting with clients.

Assistant Manager, Business Support **1994-1997**
Responsible for all PASCO purchasing, Accounts Payable, Accounts Receivable and Payroll processing. In addition, was responsible for all facility maintenance and repair requests both internally and externally (vendors). Completed assessment of property purchase for new facility.

Assistant Manager, Mailroom **1990-1994**
Performed special projects to improve operating processes. Responsibilities included ensuring that inbound mail was opened and prepared for data entry processing. Also, responsible for monitoring and evaluating data, developing and implementing operating procedures, and interacting with various departments and training of employees.

Assistant Manager, Facility Support **1988-1989**
Performed all facility maintenance and repair requests both internally and externally (vendors). Completed assessment of property purchase for facility construction.

EDUCATION, TRAINING AND RELEVANT EXPERIENCE

Graduate, Valley Forge High School, Parma Heights, Ohio **1971**

PROFESSIONAL ACCREDITATIONS, CERTIFICATIONS, DESIGNATIONS AND LICENCES

None

PERSONAL

Mr. Spitalieri is married with one grown daughter and 3 grandkids.

Specific Responsibilities on Insurance Verification Projects

During Mr. Spitalieri's tenure he has participated in the design, testing and implementation of various State Insurance Verification letters including in New Mexico and Ohio.

Proposed position in Arkansas Online Insurance Verification System

Mr. Spitalieri will be the printing and fulfillment coordinator for the Arkansas Online Insurance Verification System. He will be involved in the design, development and implementation of the letter templates. Ongoing, he will be responsible to ensure the success and on time delivery of all printing and fulfillment requirements for the program.

3.0 Staffing Plan

The Staffing Plan should demonstrate the Prospective Contractors understanding of all resources required to perform all of the activities in this RFP.

All content should be formatted for effective viewing.

Instructions: Provide a Staffing Plan.

Validati will ensure that the staff is dedicated to the assignments that need to be completed to provide the highest quality results for DFA. Once this is documented Validati will inform DFA of any changes. A thorough review of staffing will be completed quarterly to ensure the correct resources are being dedicated to Arkansas Online Insurance Verification System.

Validati will ensure that the staff is dedicated to the assignments that need to be completed to provide the highest quality results for DFA. Once this plan is documented Validati will inform DFA of any changes. A thorough review of staffing will be completed quarterly to ensure the correct resources are being dedicated to Arkansas Online Insurance Verification System. At commencement of contract award and prior to the hiring of staff, Validati will conduct Federal and State Criminal Background Checks. On request, we will share the results with DFA within 72 hours of the request.

Validati plans to use experienced management and qualified professionals to bring to DFA the skills necessary to meet the program requirements. Validati participates in industry conferences and conducts professional training on topics related to insurance verification and data management, including security, to ensure that our staff stays current with best practices.

The Staffing Plan will be finalized with the mutual agreement of the State within fifteen (15) days of Contract Award. Please see Attachment_2 Validati Staff Plan.

The president of Validati, Mr. Peter A. Spitalieri, will participate in all phases of the project to ensure that major project milestones are met and Validati meets all Performance Standards.

Validati will staff with a Project Manager, Dennis Duffield, who has over three (3) years of project management. Mr. Duffield will

- 1. Serve as the primary point of contact for the Contractor during the Implementation phase of the project.*
- 2. Provide the complete project timeline schedule with all the related tasks during the schedule management phase.*
- 3. Coordinate between various stakeholders.*
- 4. Manage the total project (i.e. delivery, customization and implementation, coordination for site preparation, and networking).*
- 5. Participate in all meetings, including a mandatory kick off meeting and weekly status meetings. Meetings may be held onsite at a location to be specified by DFA or via conference call at the State's discretion.*
- 6. Develop Project Scope Documents*

7. *Monitor Risk Management aspects and project delays.*
8. *Ensure synchronization of all the activities of the project (i.e. development, implementation, training etc.).*
9. *Provide weekly updates to the State's Project Manager from the start of the contract through the implementation phase*

Validati will Staff with an Account Manager, Scott A. Keller, who has served in this role for our state online verification clients. Mr. Keller will serve as the primary point of contact between the State and Validati after Implementation is complete and the solution is fully operational. He will also participate in the implementation to ensure a smooth transition between implementation and deployment.

We will also ensure that we have an Information Security Officer (ISO), Vincent L. Spitalieri, who will serve as the State's primary security contact and be available to assist the State twenty-four (24) hours per day, seven (7) days per week as a contact in resolving obligations associated with a Security Breach. Mr. Spitalieri will oversee all data eligible for reporting to ensure that DFA and other State agencies have all of the data for both standard and ad-hoc reports.

Our technology personnel, led by Mr. Frank D. Peden, have sufficient technical expertise and experience to accomplish the Implementation Plan and support the ongoing process. Each of them has worked on our current online verification systems. Mr. Peden has significant understanding of all of these systems and is managing all technology related to our current state online verification systems. The Technical Team will

1. *Determine operational feasibility through analysis, problem definition, and evaluating requirements, solution development, and proposed systems;*
2. *Prepare solutions by determining and designing system specifications, standards, and programming;*
3. *Implement the proposed system by studying information needs, conferring with users, investigating problem areas, following the software development lifecycle, and studying systems flow, data usage, and work processes.*

We will also ensure that we have an Operational Team with Mrs. Sherry L. Rasmusen overseeing the Call Center activities for drivers and Mr. Aaron J. Salguero managing the Technical Help Desk support and coordination with the insurance companies. A Printing and Fulfillment Manager, Charles, J. Spitalieri, will oversee the production of letters and compliance with the DFA language during implementation and will ensure the timely delivery of these letters during the life of the contract.

Validati will ensure that the team meets weekly during implementation and at least monthly post implementation. During Implementation all milestones will be discussed along with obstacles and opportunities for improvement. Post-implementation team members will meet to review monthly reports and results against Performance standards. In both cases, team members will

spend time discussing their respective roles and current issues. In this way we hope to ensure that multiple team members can step into fill responsibilities in the case of a departure.

We will maintain specific back up and communicate to the respective team members the plan so that training can be instituted to ensure that key responsibilities are performed during periods of absence and in the case of a departure. Specific tasks for each position will be documented and team members will be assigned back-up responsibilities. We will review these plans for readiness quarterly.

4.0 Staff Retention

The Prospective Contractor should provide assurances that it will retain the appropriate level of staff to complete the scope of this engagement throughout the contract period. The Prospective Contractor should describe its approach to staff retention, with specific attention to ensuring staff consistency throughout the duration of the Engagement.

Instructions: Describe Prospective Contractor's process and methodology for retaining personnel and ensuring that Key Personnel are consistently engaged on this Engagement. The Prospective Contractor should also discuss steps they have/will take to minimize staff turn-over to avoid costly re-training of Engagement resources.

Validati will keep in place a Staffing Plan to keep our focus on the proper staffing and retention of Key Staff Members assigned to support the Arkansas Online Insurance Verification System. The plan will also document our back-up resource in the event we do loose a key staff member.

Validati has a compensation plan that is very competitive. In addition to base compensation, professionals all have objectives that include bonus payments for achievement. In addition to individual bonuses, Validati offers special program for teams that work on significant projects like the Arkansas Online Insurance Verification System. We will put in place a bonus based on successful implementation of the program as well as build into our objective system bonuses based on the Contract Performance Standards.

Validati employees have a complete set of benefits and a 401 (k) match/ Profit Sharing program. We believe all of these forms of compensation form a base to retain our employees, but we also believe that we have created a winning work environment.

Validati has a set of Corporate Values which determine how we treat one another, our clients, our business and the community in which we operate. We believe our team is supportive of our Values and excited about our mission and goals. This enthusiasm allows us to retain staff and motivate them to work toward our common objectives. We have a number of programs that we believe add to a positive work environment conducive to keeping our staff. Some of those programs include:

- Recognition and Awards Programs
- Professional Development Programs, including seminars and cross-training
- Employee Luncheon and Theme Days
- Monthly Focus Group meetings discussion corporate objectives and performance
- Quarterly Meetings discussing projects and review of Business Plan
- Flexible work schedules
- New facility with modern equipment and smoke free work environment
- Continual training and development (personal and profession) programs

Validati understands the requirements of a program like the Arkansas Online Insurance Verification System and we are comfortable that this team will devote the time needed to ensure a successful implementation and ongoing performance. We will not remove team members during the implementation and will only redirect resources after implementation as they are no longer needed. We will make sure to discuss the latter with DFA.

Online Insurance Verification System

Directions: The table below provides the functional and technical requirements for the solution. Bidders must indicate with an 'X' in columns OOB, CFG, CSL, or NA whether their solution supports the following requirements.

OOB = Out of the Box- The Proposed System completely meets the requirement without customization or configuration.

CFG = Configurable- The Proposed System must be configured to meet the requirement but changes to software code are not required. (Proposer must provide explanation).

CSL = Custom Solution- The requirement can be met by implementing a custom solution. (Proposer must provide explanation). If CSL is selected, in the comments please propose an alternative (that meets the needs of the State) or an explanation of why it is acceptable to forego this requirement.

N/A= Not Available- The proposed system does not offer this requirement.

Functional Requirements

	Function	Availability				Explanation
		OOB	CFG	CSL	N/A	
E.1	Coordination/Communication					
A	The proposed system has the capability to receive notification from Arkansas Department of Finance and Administration (DFA) and/or from Arkansas Insurance Department (AID) when a new insurance company has been registered to do business of selling motor vehicle insurance policy in State of Arkansas.	X				<i>When the notification is received by the Validati Technical Support staff, the details of the new insurance company are entered into the VeriTrak system. This will be the beginning steps of the carrier certification process. Once the carrier has completed the certification, they will be placed into production.</i>
B	The proposed system has the capability to coordinate with new/existing insurers in the business of selling motor vehicle insurance in State of Arkansas to gain access of their business data.	X				<i>VeriTrak has a robust process and database of contacts that will be used to initiate and coordinate with all insurers in the State of Arkansas, to provide data for all Arkansas motorists. Validati has used the process and contacts to obtain insurance information in support of other States Financial Responsibility programs.</i>
C	The proposed system has the capability to send non-compliance letters to registered vehicle owners in Arkansas when a motor vehicle registration does not have an associated insurance policy for a time period.		X			<i>VeriTrak meets this requirement for up to 3 vehicles per owner. It will need to configure the letters to allow more than 3 vehicles.</i>
E.2	Web Based Application Interface					

Online Insurance Verification System

Directions: The table below provides the functional and technical requirements for the solution. Bidders must indicate with an 'X' in columns OOB, CFG, CSL, or NA whether their solution supports the following requirements.
OOB = Out of the Box- The Proposed System completely meets the requirement without customization or configuration.
CFG = Configurable- The Proposed System must be configured to meet the requirement but changes to software code are not required. (Proposer must provide explanation).
CSL = Custom Solution- The requirement can be met by implementing a custom solution. (Proposer must provide explanation). If CSL is selected, in the comments please propose an alternative (that meets the needs of the State) or an explanation of why it is acceptable to forego this requirement.
N/A= Not Available- The proposed system does not offer this requirement.

Functional Requirements						
	Function	Availability				Explanation
		OOB	CFG	CSL	N/A	
A	The proposed system will provide a web service interface to access the Online Insurance Verification System by authorized State agencies to verify the insurance coverage with minimum inconvenience to State system users and maximum integration with current workflows where possible.	X				<i>VeriTrak provides a Web portal that will access the Online Insurance Verification System. The portal is browser agnostic and built with user role security profiles. Validati will create an interface on the existing VeriTrak™ Insurance Monitoring service to accept SOAP requests from the various State platforms and pass them to Insurance carriers for validation.</i>
B	The proposed system will provide a secure web based solution to upload insurance information of self-insured customers and for insurance companies with less than fifty (50) insurance policies.	X				<i>VeriTrak has a web site with features that permit the upload of insurance policy files via HTTPS.</i>
C	The proposed system will provide a secure public web-site for data entry, display insurance policy information to the citizens of Arkansas.		X			<i>VeriTrak has a feature for citizens to view insurance information for their vehicles using a distinct Pin through a secure web portal. The site will need modifications to accommodate the specific State Agency role requirements.</i>
E.3	System to System Connection Interface					
A	The proposed system will secure data transmittal between insurance companies issuing motor vehicle insurance in State of Arkansas and the proposed solution.	X				<i>VeriTrak provides SFTP and PGP encryption software. Files are PGP encrypted with the public key of the intended recipient.</i>

Online Insurance Verification System

Directions: The table below provides the functional and technical requirements for the solution. Bidders must indicate with an 'X' in columns OOB, CFG, CSL, or NA whether their solution supports the following requirements.
OOB = Out of the Box- The Proposed System completely meets the requirement without customization or configuration.
CFG = Configurable- The Proposed System must be configured to meet the requirement but changes to software code are not required. (Proposer must provide explanation).
CSL = Custom Solution- The requirement can be met by implementing a custom solution. (Proposer must provide explanation). If CSL is selected, in the comments please propose an alternative (that meets the needs of the State) or an explanation of why it is acceptable to forego this requirement.
N/A= Not Available- The proposed system does not offer this requirement.

Functional Requirements

	Function	Availability				Explanation
		OOB	CFG	CSL	N/A	
B	The proposed system includes a certification and testing program to ensure that 3rd party systems can demonstrate the capability to correctly use the secure data connection interface and transfer data in useable format before they are authorized to submit data to the System.	X				<i>VeriTrak includes procedures for Connectivity Testing to secure data connection interface and data transfer capabilities. VeriTrak also provides Transaction Set testing and Validation testing to complete format validity testing before the 3rd party is authorized to submit data.</i>
E.4	Data Upload/Download Requirements					
A	The proposed system will send and receive large sets of files of motor vehicle registration information securely to and from the State of Arkansas, in a format designated by DFA.		X			<i>VeriTrak sends and receives large sets of files. Modifications to existing configurations will be required to accommodate the DFA format.</i>
B	The proposed system will compare monthly registration files to the insurance policy records to determine which registered vehicles have and do not have an associated active insurance policy and send a response to the designated System.		X			<i>VeriTrak matches insurance policy records to the registration data provided by the State using proprietary matching algorithms. VeriTrak can send the results of this process (both matched and unmatched) to designated system recipients. Modifications to accommodate different system locations, interface formats and update periodicity will be required.</i>
E.5	Reporting					
A	The proposed system will provide robust ad-hoc and pre-defined reporting functionality for the State to determine compliance with Arkansas statutes and rules.		X			<i>VeriTrak provides for pre-defined reporting. Modifications to the report delivery and creation schedules will be required. Ad-hoc reporting capabilities are present using SQL server tool sets.</i>

Online Insurance Verification System

Directions: The table below provides the functional and technical requirements for the solution. Bidders must indicate with an 'X' in columns OOB, CFG, CSL, or NA whether their solution supports the following requirements.
OOB = Out of the Box- The Proposed System completely meets the requirement without customization or configuration.
CFG = Configurable- The Proposed System must be configured to meet the requirement but changes to software code are not required. (Proposer must provide explanation).
CSL = Custom Solution- The requirement can be met by implementing a custom solution. (Proposer must provide explanation). If CSL is selected, in the comments please propose an alternative (that meets the needs of the State) or an explanation of why it is acceptable to forego this requirement.
N/A= Not Available- The proposed system does not offer this requirement.

Functional Requirements

	Function	Availability				Explanation
		OOB	CFG	CSL	N/A	
B	The proposed system will define new reports and edit as needed without assistance or ongoing support from vendor.		X			Veritrak utilizes SQL server databases and reporting services, that permit robust data access and report creation. This platform does not require specialized qualifications to modify or create new reporting. Report data can be exported in any form to accommodate modifications to reports without Validati support.
C	The proposed system will configure access to reporting functionality to State system users.		X			Veritrak provides for access configurations to be completed by Validati Technical Support staff. Modifications to the role based assignments will be required to match the DFA requirements.
D	The proposed system will export report data to variety of formats including but not limited to: Microsoft Excel, .csv, .txt, .pdf	X				VeriTrak can support export data in these formats.
E.6	System User Access					
A	The proposed system allow the set up of various user types who's access to the system is restricted by their assigned user role..		X			VeriTrak utilizes role based membership assignments (made through the .NET development suite) to define user types/roles and restrict user access based on their assigned user role. The system will need modified to accommodate unique State Agency access requirements.
E.7	Auditing					
A	The proposed system will log users account activity including who accessed the data, what data was accessed and when it was accessed.	X				VeriTrak provides user account activity audit trails.

Online Insurance Verification System

Directions: The table below provides the functional and technical requirements for the solution. Bidders must indicate with an 'X' in columns OOB, CFG, CSL, or NA whether their solution supports the following requirements.
OOB = Out of the Box- The Proposed System completely meets the requirement without customization or configuration.
CFG = Configurable- The Proposed System must be configured to meet the requirement but changes to software code are not required. (Proposer must provide explanation).
CSL = Custom Solution- The requirement can be met by implementing a custom solution. (Proposer must provide explanation). If CSL is selected, in the comments please propose an alternative (that meets the needs of the State) or an explanation of why it is acceptable to forego this requirement.
N/A= Not Available- The proposed system does not offer this requirement.

Functional Requirements						
	Function	Availability				Explanation
		OOB	CFG	CSL	N/A	
B	The proposed system will track changes to application data including date of change, System User ID, type of change (insert, update, delete) and original and updated field values.	X				<i>The VeriTrak™ system provides for user account auditing in a number of methods. The SQL Server database that supports the application performs full transaction logging to include the user account making a change, the type of change (at the database level and at the application level). The date/time/user information is also stored.</i>
E.8	Data Storage and Retention					
A	The proposed system will allow for the availability of data collected by the system for a period of three (3) years.	X				<i>VeriTrak will allow for the availability for data collected by the system for a period of at least three (3) years.</i>
B	The proposed system will allow for an archival process after three (3) years which removes data from the system and stores in a secondary storage location.		X			<i>VeriTrak will need configuration modifications to archive data to the appropriate archiving device.</i>
C	The proposed system will store data at rest in secure/encrypted database.	X				<i>VeriTrak stores all data at rest in a secure/encrypted database using SQL Server Enterprise Edition to accomplish this requirement.</i>

Template T-5
Requirements Approach
Response Template

RFP #: SP-18-0132

Table of Contents

1.0 Coordination and Communication.....	3
2.0 Web Based Application Interface	8
3.0 System to System Connection Interface	17
4.0 Data Upload and Download Requirements	20
5.0 Reporting.....	22
6.0 System User Access.....	24
7.0 Auditing	26
8.0 Data Storage and Retention	27
9.0 System Alerts.....	28
10.0 Solution Infrastructure and Implementation	29

1.0 Coordination and Communication

Describe how you plan to receive notification from Arkansas Department of Finance and Administration (DFA) and/or from Arkansas Insurance Department (AID) when a new insurance company has been registered to do business of selling motor vehicle insurance policies in State of Arkansas.

Validati has an insurance carrier implementation plan that it will utilize to add insurance carriers into the Arkansas Online Insurance Verification System. DFA or AID can notify Validati via email or through our help desk when a new insurance company has been registered to do business of selling motor vehicle insurance policies in State of Arkansas. Validati will agree with DF or AID on standard forms of Contact information at the carrier for us to begin our process. Since many of the carriers already do business with Validati, this may result in Validati modifying existing information we have in our database. When this notification is received by the Validati Technical Support staff, the implementation plan will be initiated.

Validati will contact the carrier, using the contact information provided by DFA or AID, provide copies of the certification plan, establish business and technical points of contact and develop a timeline for testing/verification. From the list of Four Hundred Six (406) NAICs provide by the state, Validati is currently doing business with Three Hundred Fifty-Eight (358) of the NAICs. Please see Attachment_1 Current List of Insurance Companies for more information. The testing and certification process to obtain both the weekly required book of business reporting, and, online access via the IICMVA 7.0 Online Services standards are both part of this process.

Weekly book of business reporting will be completed by the carrier in specific formats that DFA will approve. The files must be PGP encrypted and all files transfers completed using the necessary FTPS or SSL based delivery options. Validati will also create a Microsoft Excel reporting template for those insurance companies that have less than 50 policies active in the State. Validati will submit the format of this file to DFA for review and approval prior to distribution.

Online verification testing will require the exchange of test and production certificates, firewall changes to permit service connectivity and test data that will result in confirmed and unconfirmed responses. All service connectivity will be completed in accordance with one of the 3 WSDLs outlined in IICMVA 7.0.

Insurance companies will also be set up with access to the web portal as part of the roll out plan. Validati will ensure that the main insurance company point of contact will have administrative access to create user accounts for other agents within their company. These accounts are used for access into the insurers' portion of the web portal. Validati will be responsible to ensure that all carrier user accounts are functional and adhere to security policies for usage, password content and password reset. Insurance company users are confined to accessing only their covered accounts in the database.

This entire process will be documented in a separate plan and approved by DFA before Validati initiates any additions. Once the carrier has completed the certification, they will be placed into production after DFA approval.

Provide a plan for how you will coordinate with new/existing motor vehicle insurers in the State of Arkansas to gain access to their business data.

Validati will actively solicit new/existing insurance companies that write private passenger auto business in the State. Validati will leverage its database of contacts for the existing book of business carriers in the State, to initiate the setup process for weekly book of business and online verification access via IICMVA 7.0. The setup process will be documented in a plan to be approved by DFA prior to initiating the process.

New carrier integration will commence with the registration and certification process, once Validati is notified by DFA or AID that a new carrier has been certified to write business in the State. New insurance companies providing data to Validati for state tracking must first sign a Trading Partner Agreement.

The Validati Technical Support Manager becomes the single point of contact with the insurance company and initiates the implementation and testing process. Validati will have an active communication program with the carriers informing them of changes to the programs and notifying them of performance issues.

In order to implement the management of the insurance data, each insurer decides on a weekly reporting process/format that is approved and works with their existing system. Every insurer identifies a business and technical point of contact to interact with the Validati Technical Support Manager.

Other action items from the plan include:

Develop a project management time plan for the implementation phase that includes specific benchmark dates, both for book of business and Online Verification setup, configuration and testing

Review the State of Arkansas user guide.

Determine both reporting and initial load method.

Evaluate EDI readiness and resources. Create an overview of development of the reporting system architecture including the error return process.

If the HTTPS option is selected, the Validati Technical Manager should be contacted to set up the HTTPS account.

If the SFTP option is selected, the Validati Data Coordinator should be contacted to set up the SFTP account and exchange PGP keys.

This entire process will be documented in a separate plan and approved by DFA before Validati initiates any additions. Once the carrier has completed the certification, they will be placed into production after DFA approval.

Describe how you will send non-compliance letters to registered vehicle owners in Arkansas when a motor vehicle registration does not have an associated insurance policy for a time period.

Through our proprietary VeriTrak™ technology, Validati has the platform to quickly modify letters and the frequency and timing of events. The recipient of the letter will be based upon the matching process between the registration file and the insurance company database. Validati will provide a monthly file indicating if a registration has a corresponding insurance policy active in the online system.

Letters are generated for those registrations that do not have active liability insurance coverage. The initial batch of 450,000 letters will be mailed within the timeframe agreed upon by the State and Validati at time of Contract Award. The sort to select the number of letters to be mailed will be recommended to DFA for approval.

Validati suggests the following selection rules:

- The initial batch of 450,000 letters sent in weekly batches of approximately 9000 letters starting two (2) weeks after the receipt of the first vehicle registration file from DFA. Validati can scrub these potential letters to determine if the vehicles still do not have liability coverage. Letters can be sorted for fulfillment by date, zip or any other method that DFA requires. We can cleanse the address file, if requested to ensure delivery.*
- Validati will mail ongoing letters within the timeframe agreed upon by the State and Validati at time of Contract Award. Validati will mail these letters within 30 days of receiving the file from DFA. We suggest mailing the day after the match subject to a maximum amount and to continue weekly mailings until completed for that monthly cycle. If requested we will delay the start of mailing these letters until after the completion of the mailing of the 450,000 initial letters. After the initial load, Validati would suggest continuing to send 9,000 weekly until the backlog is current.*

Validati suggest developing rules for the generation of the letters after the match process. For new vehicle registration, DFA should consider waiting for two monthly registration file submissions, before mailing letters on non-compliant vehicles. This will prevent unnecessary mailings due to timing of reporting between the registration file and the insurance database. We will also observe the following rules:

- Vehicles which have already received a letter within a twelve month registration period will be excluded from any further letters until the current license renewal period (approximately one year) has expired.*
- When a vehicle is selected to receive a letter, all uninsured vehicles for the owner(s) of the vehicle will be included on the letter.*

The VeriTrak™ technology merges owner and vehicle information with the text approved by the State to generate compliance letters to be mailed to citizens. The letter layout, design, and content will be as approved by the DFA.

Validati will send to the State an electronic copy of each letter. We can also provide a link on the on-line verification system to allow retrieval.

Describe how a copy of each non-compliance letter sent to an Arkansas vehicle owner will be transmitted electronically to the State designated System in Arkansas.

The VeriTrak™ technology can produce an image file of each letter in common image formats such as TIF, JPEG, and PDF. An index file containing the records of letter image file names and the corresponding vehicles on the letter is produce. The image files and index file are zipped and encrypted using AES-256 encryption. The zipped file can either be placed on Validati's secure FTP site to be picked up by the State, or can be automatically transferred to a secure FTP site provided by the State.

Describe your plan to provide a customer support service center for Arkansas citizens to offer information, make corrections, or obtain assistance with the Online Insurance Verification process.

Validati will provide live customer support for the Arkansas citizens via a dedicated 1-800 number to our call center located in Hudson Ohio as well as email. We will staff with trained and experienced English speaking customer service-oriented employees dedicated to the Arkansas Online Insurance Verification System. Our representatives will be able to handle calls from Arkansas citizens, Insurance Companies, or State personnel.

Mrs. Sherry L. Rasmusen will manage the customer support activities. Mrs. Rasmusen has staffed and implemented new Customer support centers for the online insurance verification programs in Ohio and California. The call center will have hours of operation from 7:00AM until 7:00PM Central Time, excluding State Holidays.

Validati will develop call center procedures and policies in conjunction with the appropriate State of Arkansas personnel, to ensure that all information, assistance and issue resolution steps are agreed upon. These procedures and policies will be documented in an operations manual that will be maintained by Validati, but made available to the State Program management staff.

The Validati Call Center staff will also assist Arkansas Citizens with any access issues to the web portal. Validati will create the Arkansas web site using responsive design principles so that the site will be device agnostic so citizens can access the site 24 hours per day/7 days per week on various devices. Validati will ensure that all user profile credentials created for access to the website are retained throughout the life of the contract. The website will allow citizens who have received a non-compliance letter to access the website to verify their current insurance information has been uploaded to the system by that citizen's insurance company. Validati will develop a validation method that will ensure that an Arkansas citizen is only permitted to access their insurance information. This will be accomplished by providing a PIN to each citizen with the non-compliance letter that they received. The PIN must be entered on the website account creation page, in order to create an account to access the website. All citizens will have the same level of access to their own insurance data (e.g. only a single user role will be established for citizen access).

The Validati call center personnel will have escalation procedures written, documented and approved to ensure that any/all technical or reporting items are forwarded to the appropriate State and Validati resolution teams. The Validati call center representative will escalate the call to the call center manager. The manager will initiate the documentation of the escalation and

attempt to resolve the issue. If the manager is unable to resolve the issue for the citizen, the Validati Call Center manager will provide the citizen with a contact number to speak with a DFA representative. Validati will create an internal escalation report and send to the State's Project Manager that will detail the incident and deliver the report daily and make it available through the State Agency web portal access. Incident details will include:

Details of the issue

Issue date and time

Vehicle information (VIN, Year, Make, Model)

Customer name

Brief description of why the issue is escalated to DFA

Additional Comments

2.0 Web Based Application Interface

Describe your plan to provide a web service interface for authorized State agencies to access the Online Insurance Verification System to verify insurance coverage.

Validati provides Online Insurance Verification using Web Services. Web Services enable Validati to obtain real-time insurance status directly from the insurer system. In order to provide this information to various State Agencies and platforms, Validati will create an interface on the existing VeriTrak™ Insurance Monitoring service to accept SOAP requests from the various State platforms and pass them to Insurance carriers for validation. The interface to be created will be done so that an interface to all State Agency systems can be accomplished. This would include interface(s) to law enforcement, AIRS-DSMV, DFA and all other agencies specified during the implementation of the solution.

Validati's Web Services for Online Insurance Verification, is developed using the IICMVA standard in Version 7.0, enable Validati to obtain the real-time insurance status directly from the insurer. Both a Java and .NET version is available; both built with IICMVA distributed WSDLs. All connections will utilize SSL for connectivity, ensuring encryption of all data in transit.

Describe how access to the Online Insurance Verification System will be accomplished with minimum inconvenience to the State system users and maximum integration with current workflows where possible.

Validati will provide DFA OIA full solution specifications for approval prior to any development.

Validati will provide access to the Online Insurance Verification System through the use of web services or through the web portal. Validati will fully integrate the web service components of VeriTrak™ to any/all required State solutions via SOAP based communications through the Online Insurance Verification Service. Validati will further provide state agencies access to the Online Insurance verification System via screens residing in the web portal.

The VeriTrak™ web service screens can be utilized to access the results of the Online Insurance Verification results. The screens can be accessed, once the proper security roles are granted, to any agency user that DFA permits. The web portal and screens are browser agnostic. The screens used in this process include the following two examples, of the Online Insurance Verification search screen and the screen that is returned after the web service call has been completed:

Arkansas Online Insurance Verification System

[Register](#) [Log in](#)

[Home](#) [About](#) [Contact](#)

Online Verification Request.

VIN (Vehicle Identification Number)

Insurance Company (NAIC Code)

Policy Number

Date of Coverage

< January 2019 >						
Sun	Mon	Tue	Wed	Thu	Fri	Sat
30	31	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31	1	2
3	4	5	6	7	8	9

Arkansas Online Insurance Verification System [Register](#) [Log in](#)
[Home](#) [About](#) [Contact](#)

Online Verification Response.

Response Code

Insurer

Unconfirmed Code

Unconfirmed Reason

VIN

Tracking Number

Vehicle Type

Vehicle Owner

[New Request](#)

© 2019 - Validati

The VeriTrak™ inquiry selection and account display screens will provide DFA and the selected Agency users, access to the registration and insurance status and history of all vehicles in the program. The screens used in this process include the following two examples:

The screenshot shows the 'Interactive Inquiry - Search' page of the Arkansas Vehicle Insurance Verification System. The page has a header with the system name and navigation links for 'Home', 'About', and 'Contact'. There are also 'Register' and 'Log in' links. The main content area is titled 'Interactive Inquiry - Search' and contains five search options, each with a 'Go' button:

- Plate Number search:** A text input field for 'Plate #' and a 'Go' button.
- VIN search:** A text input field for 'VIN' and a 'Go' button.
- PIN Number search:** A text input field for 'PIN Number' and a 'Go' button.
- Name and Address search:** Text input fields for 'Business Name / Last Name', 'First Name', and 'Zip Code', and a 'Go' button. Below the fields is a note: 'The Last Name of the owner is required. In addition, provide the First Name (or) Zip of the Owner. Please enter at least the first 3 characters of the Last name and click on "Go" to initiate the search.'
- Owner License Number search:** A text input field for 'Owner DL#', a dropdown menu for 'License State' (currently set to 'Arkansas'), and a 'Go' button. Below the fields is a note: 'Please enter a Owner DL# and select a license state. Click on "Go" to initiate the search.'

At the bottom left of the page, there is a copyright notice: '© 2019 - Validati'.

Interactive Inquiry - Insurance Verification System

[Add Admin Note](#)

Vehicle Information

Plate #: PKT400
 VIN: 19XFB2F84FE000242
 Year: 2015
 Make/Model: HOND/CIV
 Insurance Status: Insured (I)
 Expiration Date: 11/30/2019
 Class: 10
 Suspend Date:

Owner Information

Business Name / Last Name: QUINTANA
 First Name: LAVETTE
 Address: 404 N FRONTIER ST
 City: BLOOMFIELD
 Zip: 87413

Non-Use / Out-Of-State

Non-Use Begin Date:

Non-Use End Date:

Out-Of-State Begin Date:

Out-Of-State End Date:

Note : Date is of the format mm/dd/yyyy

Insurance History Information

NAIC #	Company Name	Policy #	Coverage Type	Effective Date	Expiration Date	File Date	Type	Cancel
30210	ESURANCE PROPERTY AND CASUALTY	6893591	Added	10/06/2016	3/13/2018 12:00:00 AM	03/08/2018	V	
30210	ESURANCE PROPERTY AND CASUALTY	6893591	Added	10/06/2016	3/9/2017 12:00:00 AM	03/04/2017	V	
30210	ESURANCE PROPERTY AND CASUALTY	6893591	Added	10/06/2016	3/8/2017 12:00:00 AM	03/03/2017	V	
30210	ESURANCE PROPERTY AND CASUALTY	6893591	Added	10/06/2016	3/8/2017 12:00:00 AM	03/03/2017	V	
30210	ESURANCE PROPERTY AND CASUALTY	6893591	Added	10/06/2016	10/8/2016 12:00:00 AM	10/07/2016	V	
30210	ESURANCE PROPERTY AND CASUALTY	6893591	Added	10/06/2016	10/8/2016 12:00:00 AM	10/07/2016	V	
34789	21ST CENTURY CENTENNIAL INS CO	20226853	Terminated	10/07/2016	10/11/2016 12:00:00 AM	10/09/2016	V	
34789	21ST CENTURY CENTENNIAL INS CO	20226853	Added	05/04/2016	5/18/2016 12:00:00 AM	05/17/2016	V	
34789	21ST CENTURY CENTENNIAL INS CO	20226853	Added	05/04/2015	5/13/2015 12:00:00 AM	05/12/2015	V	
34789	21ST CENTURY CENTENNIAL INS CO	20226853	Added	02/18/2015	2/24/2015 12:00:00 AM	02/22/2015	V	

Vehicle Case History :

Case Number: 151206263

Describe the secure web based solution to upload insurance information from self-insured customers and from insurance companies with less than fifty (50) insurance policies.

The VeriTrak™ technology includes web pages that allow authorized users to upload insurance files and download acknowledgement/rejection files and error files for their organization. Authorized State Entities' users will be able to upload self-insured files. Authorized users from insurance companies with less than fifty (50) insurance policies will be able to upload insurance files.

The session between the web site and the user's browser will be a secured session. The web site sessions are encrypted with a SSL/TLS certificate. All browser sessions will be required to use TLSv1.2 or higher.

Self-insured files will be submitted in a format agreed to by Validati and the State. Files from insurance companies with less than fifty (50) insurance policies will upload files conforming to an Excel template designed by Validati and approved by the state.

Uploaded files will be encrypted at rest using AES-256 encryption. Validati will secure all communications that authorized users use to query or supply data. Validati will use at least a 256 bit encryption algorithm for transmitting data over web browser. The data files transmission between insurance companies and Validati will be secured using Pretty Good Privacy (PGP) encryption or secured file transfer protocol. The users to access the data will be provided a login/password. The message will be secured during transport; encrypted using a cryptographic module certified to meet or exceed FIPS 140-2 standards for any transactions involving protected private information such as name and address information. Message transmissions will be secured during transport, encrypted using TLS 1.2, and at least a 256 bit key. The data communication between Validati data center and State servers will be via secured VPN tunnel. The proposed solution will also use IP address validation between State and vendor systems.

Describe your plan to provide a secure public web-site for data entry and displaying insurance policy information to the citizens of Arkansas.

Validati will create the Arkansas web portal using responsive design principles so that the site will be device agnostic. The site will be available 24 hours per day/7 days per week minus any maintenance downtime as approved by DFA.

Validati will ensure that all user profile credentials created for access to the website are retained throughout the life of the contract. The website will allow citizens who have received a non-compliance letter to access the website to verify their current insurance information has been uploaded to the system by that citizen's insurance company.

Validati will develop a validation method that will ensure that an Arkansas citizen is only permitted to access their insurance information. This will be accomplished by providing a PIN to each citizen with the non-compliance letter that they received. The PIN must be entered on the website account creation page, in order to create an account to access the website. All citizens will have the same level of access to their own insurance data (e.g. only a single user role will be established for citizen access).

Describe your solution to update the State designated System if there is change in policy information during re-verification.

Validati will perform re-verifications on a minimum of a monthly basis. On a weekly basis, all Insurance Carriers will provide Book of Business data in accordance with State requirements and IICMVA 1.1. DFA AIRS DSMV System will send Validati a monthly registration file. Validati will match the most recent insurance file with the new registration file. Validati will then supply the DFA with monthly response file, indicating all registrations that have liability insurance re-verified. The format of this monthly response file will be provided by DFA.

Describe the availability of your solution and your maintenance downtime.

VeriTrak™ will be available 24 hours a day, 7 days a week, subject to reasonable allowances for scheduled maintenance or temporary system failures, to verify insurance status of any vehicle in a manner specified by the State. Validati will ensure that system availability is at 99.5% each month, excluding agreed upon downtimes.

Validati will perform preventative and scheduled maintenance of the proposed solution at mutually agreed upon intervals. Validati will provide Quality Assurance guidelines for new update patch or upgrade deployments. Validati will also ensure that all system changes and/or upgrades are accompanied with a System Upgrade Plan. This plan will provide a timeline, milestones and testing requirements. The Validati Project Manager will coordinate maintenance with the State and, if necessary participating Insurance Companies to occur outside of the normal business hours. Preventative maintenance is expected to occur on a quarterly basis for a period of one to two hours. Validati will ensure that all maintenance requests are delivered to the Contract Monitor for approval and that a 14 day minimum time frame (after Contract Monitor approval) must occur prior to the maintenance window execution.

Describe internal software security that prevents unauthorized access to programs and data.

Validati uses firewall rules, operating system controls, database controls, and application controls to prevent unauthorized access to programs and data. Validati uses AES-256 encryption of data as an additional layer of security to prevent unauthorized access to data. Validati's firewall rules will prevent access to programs and data from outside the United States.

All Validati personnel are assigned a unique Windows Active Directory user account. Windows access control lists (ACLs) are used to restrict access to data files and programs to authorized users. These ACLs prevent users from accessing programs and data files to which they are not authorized to access.

The VeriTrak™ technology uses Microsoft SQL Server to store data. Only users with an authorized Active Directory account may log on to the SQL Server system. SQL Server roles and database roles are used to limit a user's access to the server, databases, and data. SQL Server prevents users from accessing features or data that have not been granted to the user's roles. Additionally, all data is encrypted using AES-256 encryption to prevent unauthorized access to the data at the file level.

The VeriTrak™ technology uses the ASP.Net Identity Framework to control access to web sites. Each user is given a unique ASP.Net user account. Roles are configured to allow access to authorized functions within the web site. Users are assigned roles. A user is prevented from accessing a function that is not part of the user's role. Additional checks are implemented to prevent a citizen from viewing data for other citizen's vehicles, and to prevent an insurance company from viewing data for other insurance companies.

Validati will create Data Security plan that fully documents all reporting, configuration, access control, and password and data protection policies.

The State and Validati will mutually agree to the final plan within thirty (30) days of contract award. The Data Security Plan will include:

The name and contact information for a Validati employee who shall serve as the State's primary security contact, available twenty-four (24) hours per day, seven (7) days per week. This individual will be the contact in resolving and communicating any issues associated with a Security Breach. The security contact will be able to give a detailed explanation of the breach and the impact of the breach. The security contact must also provide a detailed resolution so that the breach will not be repeated.

Automated notification processes within the solution that will be sent out to both Validati and State Resources in the event of a breach. Validati will notify the State of a security breach as soon as practicable, but no later than four (4) hours after the event is identified.

Any data located on servers will be physically and virtually secure from all unauthorized access.

Validati will ensure that the destruction of all media being discarded, in accordance with National Institute of Standards, Guidelines for Media Sanitization, SP800-88, Appendix A - see <http://csrc.nist.gov/>.

No PII data will reside on a Validati system for any time longer than required by Arkansas State Law and the requirements of this RFP.

Validati will ensure unique user-ids are created for all users, access levels are role based, the same user account cannot be logged in more than once; DFA will have final approval over all user account creation requests.

The VeriTrak™ system will include a complex or strong password requirement that includes the following at a minimum:

- *Minimum of eight (8) characters in length.*
- *Have at least one (1) upper case.*
- *Have at least one (1) lower case.*
- *Have at least one (1) number.*
- *Have at least one (1) special character.*
- *Lock the user ID after five (5) sequential incorrect password attempts.*
- *Password reuse prohibited for 12 generations.*
- *The user must change the password every 120 days.*
- *Notify the user to change the password at 110 days and 115 days after password creation.*
- *Reset the user ID if the password is not changed at 120 days after creation.*

3.0 System to System Connection Interface

Describe the method you will use to secure data transmittal between insurance companies issuing motor vehicle insurance in State of Arkansas and your solution.

Validati will institute a certification testing process with the insurance companies. They will not be installed in our live environment until they pass this process. Validati will test file receipt and analysis with each contributing party to ensure the data is correctly received and processed. We will develop a process with DFA to share the results of our testing, which will be used to secure the required approval before going live with an insurance company. Since many of the companies already do business with Validati, this process will serve to re-certify existing connections and should be easily accomplished.

We will accept the files from the Insurance Companies encrypted using our public PGP key in the transmission format that the company is currently using. The full book of business policy information from insurance companies, as detailed in the Reporting Guide and User Manual, will continue to be accepted and processed. We will accept insurance policy information in the formats in accordance with IICMVA Data Transfer Guide v1.2.

Validati will use 256 8 bit encryption algorithms for transmitting data over web browser. The data files transmission between insurance companies and Validati will be secured using PGP encryption or secured file transfer protocol.

Once Validati receives the insurance company file, it is placed in a secure directory, data extracted and inserted into a staging table, the file is then closed and moved to secure archiving for three years or a period that DFA can assign. Validati will provide acknowledgements to the carriers upon successful/unsuccessful file receipt and successful/unsuccessful file extraction/format/data import processing.

Validati will adhere to all security requirements to ensure the security and integrity of the information provided by insurance companies and DFA OMV. Validati's FortiGate 100e firewall maintains the point-to-point and SSL VPN tunnel with clients. The device is FIPS 140-2 Level 2 compliant. Validati ensures that all transmissions to and from clients are encrypted using this tunnel. In addition to the Firewall, all data stored in SQL server will be encrypted via Transparent Data Encryption (TDE). This technology encrypts both data and logs on the active server as well as backups. The application and database servers are hosted behind the internal firewall. All websites, portals and data transfers will be secure, protected and encrypted.

We understand the need to adapt our data requirements as new industry standards are adopted and as requirements from DFA change.

Describe the validation and response feedback of data submitted to indicate that data was validated and accepted.

The VeriTrak™ technology provides acknowledgement or rejection of files received within 24 hours of receipt. Each file is first checked for conformance to accepted data formatting. If the file conforms to data formatting, it will be acknowledged. If the file does not conform to data formatting, it will be rejected.

Data in insurance company files is validated for completeness and accuracy. An error file is created with records that are either incomplete or could not be matched to a registration record. Each error file record contains error codes indicating the error, or errors, contained in the record.

The acknowledgement/rejection files and the data error files are transmitted to the insurance company using the same method that the insurance company used to transmit the original file.

Describe your plan to include a certification and testing program to ensure that 3rd party systems can demonstrate the capability to correctly use the secure data connection interface and transfer data in useable format before they are authorized to submit data to the System.

Validati will develop an Insurance Carrier Cutover Plan to ensure that all insurance carrier systems can securely provide updates to the VeriTrak™ system, via Book of Business updates and to provide Online Verification services via the IICMVA 7.0 Web Service Guidelines.

This plan will be organized into the following phases for book of business reporting:

- 1. Initiate communication with the Insurance Companies reporting to AID (or as directed by DFA).*
- 2. Notification of program weekly reporting requirements.*
- 3. Assist in the Insurance Company setup, including certificate testing and any conversions*
- 4. Test with DFA*
- 5. Implement the full book of business reporting and online reporting services.*

Testing for the book of business reporting will be managed by Validati Technical Support with assistance provided from the Technical lead (if needed). The testing process begins once the carrier has identified the reporting format that they will utilize and they have confirmed that they have applied the correct SSL certificate. This first stage of testing will:

- Validate connectivity*
- Validate payload encryption*
- Validate file transfer, receipt and extraction*
- Validate the file format and content*

The next stage of the testing will consist of additional scrutiny of the data being reported, to ensure that it is correct. Validati Technical Support will review the data and then perform an ETL import into the data import table of the VeriTrak™ database. The imported data will be reviewed to confirm data integrity.

The final stage of the setup testing will include a pseudo execution of the matching and reporting functionality of VeriTrak™ to confirm that the submitted data is properly digested by the downstream system processes.

Validati Technical Support will log all testing activities in a carrier tracking spreadsheet, and will include a tab for incident/issue tracking and resolution. This spreadsheet will be made available for DFA review.

This plan will also contain the following phases for Online Verification services:

1. *Initiate communication with the Insurance Companies reporting to AID (or as directed by DFA).*
2. *Exchange of test and production certificates.*
3. *Assist in the Insurance Company setup, and testing of service connectivity. .*
4. *Test with DFA approved “pilot” list of carriers (Testing Phase).*
5. *Implement the Online services reporting with all carriers that have it implemented.*

Testing for the Online Verification services will be managed by Validati Technical Support with assistance provided from the Technical lead (if needed). The testing process begins once the carrier has provided Validati with their test and production certificates, and, Validati has provided them with the test and production certificates for the Arkansas Online Insurance Verification System. An approval form will be required from the carrier that certifies the reporting NAICs, the IP and URLs for both the testing and production systems, and sign off by the business and technical points of contact at the carrier on the implementation of the service.

The carrier must also provide adequate testing data (for both confirmations and denials) for the testing process.

The first stage of testing for the Online Verification identifies the reporting format that they will utilize and they have confirmed that they have applied the correct SSL certificate. This first stage of testing will:

- *Validate connectivity (firewall changes)*
- *Validati connections (IP and URL)*
- *Validate request processing*
- *Validate response processing*
- *Validate the response content*

These tests are executed on the test environment and then on the production environment.

Validati Technical Support will log all testing activities in a carrier tracking spreadsheet, and will include a tab for incident/issue tracking and resolution. This spreadsheet will be made available for DFA review

This plan will be submitted to DFA for review and approval and will be a line item for weekly project status reporting.

4.0 Data Upload and Download Requirements

Describe your ability to send and receive large set of files of motor vehicle registration information securely from State of Arkansas in a format designated by DFA.

Validati's VeriTrak™ software is equipped to process state registration information over the following channels. Any one of the following channels can be used.

Secure File Transfer Protocol (SFTP)

File Transfer Protocol (FTP – encrypted) via VPN

Computer Tape

CD ROM/DVD

All files transmitted online can be done so via SFTP or via FTP over SSL after VPN connection is established. Validati's VeriTrak™ system provides a dedicated secure SFTP/FTP site requiring SSL authentication to which data files can be submitted.

Regardless of transfer media all data must be PGP encrypted. Validati will work with the State in establishing public and private keys for encrypting and decrypting data.

Validati's VeriTrak™ system can process both full record set update files for an entire database reload, or smaller delta files after the primary state load similar to insurance company transmissions.

Validati will secure all communications that authorized users use to query or supply data. Validati will use 256 bit encryption algorithms for transmitting data over web browser. The data files transmission between insurance companies and Validati will be secured using PGP encryption or secured file transfer protocol. The users to access the data will be provided a login/password. The message will be secured during transport; encrypted using a cryptographic module certified to meet or exceed FIPS 140-2 standards for any transactions involving protected private information such as name and address information. Message transmissions will be secured during transport, encrypted using TLS 1.2, and at least a 256 bit key. The data communication between Validati data center and State servers will be via secured VPN tunnel. The proposed solution will also use IP address validation between State and vendor systems.

Registration files will be transferred monthly.

Validati will finalize all protocols for transferring files from DFA and build a secure environment to accept and process these files to use with the matching of the insurance records. All data will be encrypted at all times – in transit, at rest, and when stored.

Validati will adhere to all security requirements to ensure the security and integrity of the information provided by DFA. Validati's Fortigate 100e firewall maintains a secure VPN tunnel with clients, provides an SSL-VPN, is FIPS 140-2 Level 2 compliant and requires multi-factor authentication for access. Validati ensures that all transmissions to and from clients are encrypted using this tunnel. In addition to the firewall, all data inside of SQL server will be encrypted via Transparent Data Encryption (TDE). This technology encrypts both data and logs on the active server as well as backups. The application and database servers are hosted behind the internal firewall. All websites, portals and data transfers will be secure, protected and encrypted.

We understand the need to adapt our data requirements as new industry standards are adopted and as requirements from DFA may change. We will coordinate with DFA to update data transmission and encryption standards.

DFA data will not be accessed from, stored at, or transported to locations outside of the contiguous United States of America.

<p>Describe the process of how the system will compare monthly registration files to the insurance policy records to determine whether the registered vehicles have an associated active insurance policy and then send a response to the System.</p>

Validati uses a variety of verification algorithms and cascading match routines in comparing State data with insurance company data. The match routines generate highly accurate matches that maximize match rates while reducing “false positive” matches. Each cascading match routine has multiple criteria. Initial routines require exact matches while later routines are less restrictive and allow “partial” matches based on predetermined acceptable thresholds. Whenever insurance and State records are matched, State data takes precedence. The matching process ends when a match is made. If we cannot match a record in the registration database with the insurance database we will mark the record non-compliant. We will establish rule with DFA to add required information to the non-compliant records (e.g., duration). If subsequent files provide a match from previously non-compliant records we can also indicate that information.

Prior to commencing any match routines, data is normalized through both VIN Validation and name and address cleansing and standardization. During the extract, transform, and load phase (ETL), data is cleaned, standardized, and made consistent with existing data. The Validati ETL process is more resilient to common errors typically observed in real data.

Addresses are CASS-Certified™. All names are parsed and suspicious words or companies are detected.

On a monthly basis, a response file will be generated and sent to DFA indicating if a registration has a does not have the required insurance. This response file will be generated after the receipt of the most recent registration file has been through the matching process outlined above. The fields, delivery method and format will be defined in the design process.

5.0 Reporting

Describe your plan to provide robust ad-hoc and pre-defined reporting functionality.

Validati understands this requirement and will ensure that the Arkansas Online Insurance Verification System will provide DFA and other agencies the abilities and visibility that they need. Specifically, VeriTrak™ will provide insurance reporting data in a display fashion that will accommodate date range parameters and selected fields and include the ability to export data to MS Excel, .PDF, .csv, .TXT.

Validati will submit the following “standard” monthly reports to the State’s Project Manager or their designee, no more than 2 weeks from the end of the previous month:

Support items open during the previous month. *The report will list all solution requests that are open at the end of the month, along with a status of each and will list all solution requests that were closed in the previous month narrating the outcome of the request.*

System Availability/Uptime Report. *This report will indicate system availability/uptime during the previous month and include additional narratives related to system downtime or performance degradation.*

Notice of Requirements Letter Report. *This report will be available for authorized State users to see details of letter sent to the citizens by date range. The details will include the total count of letters, VIN number, date the letter was sent out, owner name and address.*

Validati will create any reports on an ad-hoc basis for data contained in the Online Verification System. Our Account Manager will work with the ISO to understand the data requirements and present design solutions for approval by DFA. The Validati Account Manager will be available to review all reports with the DFA and to assist with additional analysis

DFA will have the ability to define new reports in the system and edit as needed without assistance or ongoing support from the Validati. Veritrak utilizes SQL server databases and reporting services that permit robust data access and report creation. This platform does not require specialized qualifications to modify or create new reporting. Report data can be exported in any form to accommodate modifications to reports without Validati support

Validati will ensure that access to standard and ad-hoc reports are based on user access role provided by DFA

The following example illustrates the standard look and feel that Validati provides in custom reporting:

Arkansas Online Insurance Verification

Validati®

Detailed - External Report

Date Range: 11/1/2018 - 1/19/2019

Year	Qtr	Month	Total Users	Active Users	Inactive Users
2018	3	9	439	341	98
		Avg	439	341	98
	4	10	443	343	100
		11	452	352	100
		12	458	352	106
Avg	451	349	102		
Avg	448	347	101		
2019	1	1	458	347	111
		Avg	458	347	111
	Avg	458	347	111	
Avg	450	347	103		

6.0 System User Access

Describe the system's ability to set up various groups of users who will need access to the system functions and data. The system must be able to configure system user access to functions and data as appropriate to the individual's user role.

The VeriTrak™ technology uses the ASP.Net Identity Framework to control access to web sites. Each user is given a unique ASP.Net user account. Roles are configured to allow access to authorized functions within the web site. All users are assigned roles. A user is prevented from accessing a function that is not part of the user's role. Additional checks are implemented to prevent a citizen from viewing data for other citizen's vehicles, and to prevent an insurance company from viewing data for other insurance companies.

State Agency users will have access to review insurance data, upload self-insured policy insurance information, view a copy of each letter sent to the citizens of Arkansas, and obtain reports that are setup in the portal for retrieval. DFA OIS administrators shall be sole authorized users to grant access for any State Agency user. Validati will ensure that the web portal will support roles-based user access for State Agency users and the access levels will be defined by DFA.

Insurance Company users will have portal accounts setup for each company as part of the carrier roll out process. They will have access to search for updates that they have provided for their NAICs. Management of the Insurance Company portal access will be to designated main insurance company headquarters personnel (identified and setup during the carrier roll out process).

The VeriTrak™ technology includes administrative web pages that allow users in authorized roles to set up users. The administrative web pages will allow authorized DFA and insurance company personnel to assign roles to users within their organization.

Describe how the internal software security will prevent unauthorized access to programs and data.

Validati provides for internal software security in a number of ways. First, all data in the SQL server database will be encrypted via Transparent Data Encryption (TDE). This technology encrypts both data and logs on the active server as well as backups. Secondly, VeriTrak™ also utilizes encrypted drives on all servers. Thirdly, the Validati network is built upon VLANS that segregate client, administrative and internal operational data. Fourthly, VLAN administration, access and monitoring are built on IPv4 policies centrally located in the corporate firewall. Access to the firewall is limited to administrative users who must also be provided with a token for access login. Validati utilizes Microsoft Active Directory and MS GPO's to ensure that users can only access those VLANS, server and applications that they need for their role. All users are assigned to unique Business Groups within active directory which further segregate user activities.

Additional measures we take include:

- Restrict physical access to all data*
- Verify individual access authorizations before granting access*

- *Obtain an FBI criminal background check on all Employees prior to granting access*
- *Grant users only the minimum access and privileges required to perform their duties*
- *Immediately revoke access and data when access is no longer required to perform duties*
- *Track and monitor user accounts by implementing a formal documentation process that details the changes to users' accounts*
- *Implement procedures to ensure user access rights and privileges are adjusted in a timely manner whenever there is a change in a user's status.*
- *Only grant access to legitimate user accounts assigned to specific individuals*

Describe how easily the solution can be setup for a State authorized agency to access motor vehicle information after the initial implementation of the Online Insurance Verification System.

Validati will create the Online Insurance Verification web portal for State Agency users to be the common web service interface for all authorized State users and for the following agencies:

Department of Finance and Administration (DFA)

Arkansas State Police (ASP)

Arkansas Crime Information Center (ACIC)

Arkansas Highway Police (AHP)

Arkansas Courts

State users in these Agencies will be able to access the registration history and the online insurance status of any Arkansas registered vehicle in seconds.

Designated users in DFA OIS will be able to add new users, and manage others. These administrative users will have access through the portal to complete these tasks.

Reporting and training resources will also be centralized for better Agency usage.

7.0 Auditing

Describe the ability to log users account activity including who accessed the data, what data was accessed and when it was accessed.

The VeriTrak™ system provides for user account auditing in a number of methods. The SQL Server database that supports the application performs transaction logging, so that the date/time/user information is stored as part of the permanent registration data as well as the activity being performed (e.g. access level, query elements, etc.). The database transaction logs are retained for a minimum of 3 years after the transaction was executed. Validati will ensure that these logs are retrievable and that after the retention period they are archived before being permanently removed from the system.

The VeriTrak™ application provides history transactions in a “display-only” mode, so that authorized users may review all transactions that occur with that registration while it resides in VeriTrak™. These transactions include: registration updates, insurance baseline updates, online insurance inquiries, etc. Additional application logging can be added and would be reviewed as part of the full requirements definition phase of implementation.

Describe the ability to track changes to application data including date of change, System User ID, type of change (insert, update, delete), and original and updated field values.

The VeriTrak™ system provides for user account auditing in a number of methods. The SQL Server database that supports the application performs full transaction logging to include the user account making a change, the type of change (at the database level and at the application level). The date/time/user information is also stored. The VeriTrak™ application provides history transactions in a “display-only” mode, so that authorized users may review all transactions that occur with that registration while it resides in VeriTrak™. These transactions include: registration updates, insurance baseline updates, online insurance inquiries, etc. Additional application logging can be added and would be reviewed as part of the full requirements definition phase of implementation.

In addition, a third party SQL Server auditing platform, Netwrix, is utilized to maintain a separate database of audit data for the VeriTrak™ system. This audit database captures and makes available for further analysis the actual data elements being modified, including before and after values, individual field updates and a series of audit reports. Access to this data is currently permitted to approved Validati technical auditing staff only. Validati will review this capability with DFA during the project design phase.

8.0 Data Storage and Retention

Describe how you plan to store data at rest in secure/encrypted database for the time periods required by this RFP.

VeriTrak™ will ensure that all data will be encrypted at all times – in transit, at rest, and when stored. All data payload and payload processes will utilize encryption as a requirement for all data files in transit. Validati will ensure that all database tables are encrypted using a FIPS 140-2 compliant mechanism.

VeriTrak™ data and files will be retained, purged and archived in accordance with the Data Management policies required by the State of Arkansas. Archiving will be done in a similar secure environment as the production data.

9.0 System Alerts

Describe how the system will allow state administrators to create, modify, and receive alerts that can be configurable by the State to select tolerance levels and select alert recipients.

Validati utilizes various monitoring and alerting solutions in the management of the VeriTrak™ solution. All system and application alerts are sent to email addresses added to an alert group. Validati would set up a unique group in the corporate Exchange environment just for the Arkansas users/groups that need to receive these alerts. There are certain alerts that are also sent via SMS text. DFA can make the decision for the inclusion of these alerts as part of the deployment process.

Validati utilizes SQL Server job monitoring and SSRS to execute various system functions and part of these functions are to generate emails to designated users, when jobs fail, warnings are generated, or jobs are completed. Validati can add State users to receive these messages.

Infrastructure monitoring is completed using COTS software tailored for the environment. Similar email or SMS alerts can be directed to State users as directed by DFA. Validati will review with DFA the current tolerance levels as part of the build process and will make any/all changes DFA requests.

The setup of these notifications will be completed as part of the build/deploy process. DFA will have approval on all alerts and alert recipients.

Validati will ensure that DFA has an expedited change management request process to add, modify, expand or remove alerts (e.g. SQL, Application, COTS monitoring) in the System environment. This process would be controlled by the Validati Account Manager. Requests will receive the highest assignment priority for completion. Modifications to existing alerts, adding and/or removing of State Agency email or SMS text recipients, will be completed within 2 hours. The creation of new alerts will be completed within 8 hours.

Describe how the system allows for alerts to be sent via an email to recipients designated by state system administrators.

Validati utilizes various monitoring and alerting solutions in the management of the VeriTrak™ solution. All system and application alerts are sent to email addresses grouped in an alert group. Validati would set up a unique group in the corporate Exchange environment just for the Arkansas users/groups that need to receive these alerts. There are certain alerts that are also sent via SMS text. DFA can make the decision for the inclusion of these alerts as part of the deployment process.

Validati utilizes SQL Server job monitoring and SSRS to execute various system functions and part of these functions are to generate emails to designated users, when jobs fail, warnings are generated, or jobs are completed. Validati can add State users to receive these messages.

Infrastructure monitoring is completed using COTS software tailored for the environment. Similar email or SMS alerts can be directed to State users as directed by DFA.

The setup of these notifications will be completed as part of the build/deploy process. DFA will have approval on all alerts and alert recipients.

10.0 Solution Infrastructure and Implementation

Describe your complete plan in detail on the proposed technology infrastructure, platform, configuration including system and security, maintenance of development, test and production environment.

Validati maintains separate system environments for development, testing/QA and production.

Each environment has its own web server(s), database server(s) and application server(s). These servers are separated logically via subnets to ensure that the deployment of solutions from development, to test, to production is a physical task that must be completed by authorized personnel.

Validati has standardized its architecture in the Microsoft stack, using Windows server, SQL Server Databases, IIS, .net/C#, TFS and Visual Studio development tools as well integrated Windows layered products for system management and work flow.

Validati has standardized on an n-Tier framework, with webservers residing in a DMZ, separated from the Application and Database server, via a firewall and layer 3 switching capabilities. Robust web filtering, IPS and multi-factor authentications are requirements for all firewall implementations. Anti-virus solutions reside on the firewall and within the network.

Validati manages Windows client and server updates using the MS WSUS tool.

Validati manages server pack updates from the development area to the test area on a project by project basis. Mandatory approvals and testing checklist completion are all requirements before any package can be staged for a production deployment. Currently production deployments are completed on a quarterly basis.

Validati will notify DFA's CIO or their designee in writing of all upcoming service packs and software patches at least sixty (60) days prior to their release and will provide and install all service packs in a timeframe that is approved by DFA.

Validati will ensure that each service pack includes documentation that identifies affected software components and classifies the service pack item as either:

Low impact – software component is backward compatible

Medium impact – software component is backward compatible; configuration, testing, or documentation changes may be required

High impact – software component requires new database structures, data fixes, or recompilation of site-specific components; existing business processes may be impacted

Validati will provide agreed upon testing confirmation to DFA as part of the deployment request.

Validati will provide the latest production version of the system released and coordinate with DFA OIS in making it available to those State Agencies. This will be done at no additional cost to the State.

Validati will provide any software and/or hardware changes and/or updates to implement Federal or State legislative required changes during the contract period. Changes and/or updates will comply with State or Federal implementation deadlines. These will be done at no additional cost to the State.

All required updates shall be implemented outside of normal system operating hours at a date and time approved by DFA. Normal system operating hours are Monday to Friday, 7am to 7pm Central Time, excluding State holidays.

Web servers for user (or client) based testing can be made accessible via the Internet, but database and application servers are on the private network.

Validati employs three levels of testing. Level One is unit testing of the change which is performed by a Senior Technical person to ensure that the application was properly modified and the code meets our requirements for design and documentation. Validati project management performs Level Two testing which is designed to ensure the integration of the new code into existing applications. Finally, Validati performs Level Three testing with users including our clients to ensure that the application meets their requirements. This final level of testing does not proceed until all procedures (internal and those supplied to the client) are properly documented.

Validati is capable of receiving data transmissions via SFTP with Pretty Good Privacy (PGP), which provides the industry standard best practices for encryption to ensure the security of the data. The data must be encrypted at all times. Validati will encrypt data in transit, at rest, and when stored. Validati will follow the most current guidelines as recommended by FIPS 140-2. Validati may suggest alternative data transfer technology capable of meeting the required security standards.

Validati currently provides solutions to multiple states. Validati ensures that the network and data for each State are separated.

<p>Describe your Disaster Recovery Plan for the complete solution including how to conduct the disaster recovery in test environment before going live in production also how to test annually according to the rules and regulations of DFA Risk Management Office. Describe two (2) examples of how the proposed system described in the RFP be restored in worst case disaster scenarios.</p>
--

Validati has a Business Continuity Plan/Disaster Recovery Plan (BCP/DRP) that includes the process, policies and procedures of restoring operations critical to the resumption of the system including regaining access to data (records, hardware, software, etc.), communications (incoming, outgoing, etc.) and other business services after a natural or human-induced disaster. Validati's plan has been in practice for more than 30 years and is tested on an annual basis. Validati establishes a cohesive relationship between its Business Continuity Plan and Disaster Recovery Plan that is often considered to be part of the larger process that is the Business Continuity Plan. The plan addresses the business continuity (proactive measures) and the disaster recovery (reactive measures) plans that are in place with Validati to handle the requirements according to the requirements.

Validati will provide, as part of the project implementation, a BCP/DRP test from the Validati testing environment, to, the BCP/DRP solution. We will conduct the test using the servers that are part of the Agility Recovery Solution. The Agility Solution will also be used to perform a test from the production area to the BCP/DRP test. Validati ensure that the proposed BCP/DRP plan meets NIST (National Institute of Standards and Technology) standards for disaster recovery and contingency planning.

Validati will frequently and automatically back up all data in the VeriTrak™ system. The servers and data will reside in the continental United States. Additionally, the following requirements will be followed as part of a BCP/DRP event or test:

The System must backup and completely restore key system data files. Backup media should be common media readable by readily available hardware.

If access to backed-up information depends on Validati-owned hardware that is scheduled for discontinuation or prolonged downtimes, we will notify and present a solution in writing to the State Project Manager.

Validati will maintain a data backup schedule in accordance with the following requirements:

A weekly cycle providing a full backup of system information that reflects all project components, configurations, and data at the completion of that week's cycle, run on Sundays.

A daily backup reflecting that day's processed information, Monday through Sunday.

Validati will provide to the State Project Manager an electronic daily report delineating the completion of that day's backup, the status, and catalog of items backed up.

Validati will ensure data integrity by providing back-up and server redundancy for instant recovery. Validati's architecture has complete redundancy with server farms for web, application, and database servers. Web connectivity is behind a load balancer enabling instant recovery even if a web server goes down. Validati also has multiple database servers connected in a server farm environment enabling the data to be written and retrieved via multiple servers. This enables instant recovery in case of database server failure.

Validati utilizes various Servers to house the applications of products that are run from the client PC's. The manufacturer and model of each server, as well as the software installed on each server is documented. Validati utilizes a Unitrends backup appliance using 3 Bay Removable archive disks. Unitrends backup/archive agents are used to back up the data to the 2TB removable drives. Every Friday, we will use a new set of 2TB drives for archiving. The drives from Friday rotation will be taken offsite on a weekly basis. These drives will serve as the source for data in a disaster recovery situation and for archival of data. A break/fix contract with Park Place International has been put in place to ensure that the mission critical servers are under a 24x7 period maintenance with 4 hour response time. Agility Recovery Solution is used to provide warm standby servers/generator/office space for immediate recovery.

In case of a disaster the below mentioned steps will be followed:

If the problem is with server hardware, Park Place International (Break Fix Vendor) will be contacted to fix the issue, if the server/appliance is not under warranty. If the device is under warranty, the manufacturer is contacted.

If the problem has caused a loss of data, Unitrends software will be used to restore the data from local drives. Validati will determine if database and application can be moved to another server. If so, using the back-up drive the data will be restored and the applications will be reinstalled. All batch processes that have been performed since the last backup will be performed again in the order and method previously performed.

Agility Recovery Solution has the following features:

- Web Redirect Services*
- Center to Center (Net Redirect)*
- Unlimited access to the facility*

- *Access to Office space, copier, scanner, printer, PCs, Keyboards, Monitors, Phones, Voice mailboxes, Diesel generator*
- *Multiple servers*
- *Network equipment like switches, routers, firewall*

Testing of the BCP/DRP is coordinated with Agility Recovery. Testing can take place onsite (through the use of the Agility Mobile Recovery plan) or at one of Agility’s testing facilities in the continental US. ”

The Validati BCP/DRP capabilities are outlined in Attachment_7 Validati Business Continuity Plan and Disaster Recovery Plan, but the BCP/DRP can address these scenarios for system failover restored in worst case disaster scenarios:

Type of Casualty	Validati Plan will:
<i>Loss of power (no impact to facility or servers)</i>	<i>Deploy generator to facility</i>
<i>Loss of servers/PCs (still have power and facility)</i>	<i>Deploy backup servers to facility</i>
<i>Loss of Facility (but utilities still remain)</i>	<i>Deploy Agility Mobile Recovery Unit, with servers, PCs, desks, communications and networking gear.</i>
<i>Loss of facility and utilities</i>	<i>Deploy Agility Mobile Recovery Unit, with servers, PCs, desks, communications and networking gear and generator.</i>

Template T-6

Required Plans

Response Template

RFP #: SP-18-0132

Table of Contents

1.0 Implementation Plan	1
2.0 Testing Plan	2
3.0 Training Plan	3
4.0 Disaster Recovery and Business Continuity Plan	4
5.0 Data Security Plan.....	5
6.0 Maintenance Plan.....	6
7.0 Ongoing User and Technical Support Plan	7

1.0 Implementation Plan

The Prospective Contractor should submit a Work Plan regarding the implementation of all services requested under this RFP. This Work Plan will demonstrate that the Prospective Contractor has a thorough understanding of all activities required. DFA requires that the Prospective Contractor provide a schedule with the shortest duration required to implement the services smoothly and without interruption to business operations.

The Work Plan should show all key elements including details with responsibilities, timelines, durations, milestone dates, deliverables, and Prospective Contractor personnel hours by deliverables, State personnel hours, and all critical dependencies for the milestones and deliverables. The Work Plan may be an attachment to the Prospective Contractor's Technical Proposal and tabbed as such in the submission as well as an electronic soft copy (Microsoft Project ® or equivalent and Adobe ® PDF) version in the Prospective Contractor's electronic submission of the Technical Proposal.

All content should be formatted for effective viewing in hard and soft copy.

Instructions: Provide a Work Plan including at least:

- High level Project schedule (Microsoft Project® preferred and Adobe ® PDF) including all deliverables and milestones, and timeline
- A listing of what staff is assigned responsibility for each deliverable within the WBS to the level at which control will be exercised (i.e., DFA, Contractor staff)
- Major milestones and target date(s) for each milestone
- Definition of the review processes for each milestone and deliverable and a description of how the parties will conduct communication and status review
- A plan for system go live

Include or attach associated artifacts such as Gantt charts and flowcharts as appropriate.

Validati has a thorough understanding of all activities required to effectively implement the Arkansas Online Insurance Verification System. Our Work Plan supports all of the major Deliverables and Milestones. We are comfortable with the effort necessary to deliver these items. Please see Attachment_3 Validati Project Plan. The plan is provided electronically in both Microsoft Project ® and Adobe ® PDF. Also, see Attachment_4 Implementation Plan demonstrating our understanding of the resources and project steps to go live with a complete solution.

2.0 Testing Plan

Instructions: Provide a Testing Plan.

The Testing Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities required to effectively test the proposed system.

The Testing Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities required in the RFP.

All content should be formatted for effective viewing.

Include or attach associated artifacts as appropriate.

Validati has a thorough understanding of all activities required to effectively test the Arkansas Online Insurance Verification System. We understand the program requirements and have the staff to successfully deploy the System. Please see Attachment_5 Validati Test Plan, which demonstrates our level of knowledge with the specific process steps that are part of the Arkansas Online Insurance Verification System.

3.0 Training Plan

Instructions: Provide a Training Plan.

The Training Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities required in the RFP.

All content should be formatted for effective viewing.

Include or attach associated artifacts as appropriate.

Validati has experience training State users in other Online Verification programs. We currently work with most of the insurance companies that write business in the State that will be part of the Program. We are completely comfortable with the topics and the materials we need to successfully train both the State users and the insurance Companies. Please see Attachment_6 Validati Training Plan.

4.0 Disaster Recovery and Business Continuity Plan

Instructions: Provide a Disaster Recovery and Business Continuity Plan.

The Disaster Recovery and Business Continuity Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities required in the RFP.

All content should be formatted for effective viewing.

Include or attach associated artifacts as appropriate.

Validati already has a program in place that meets almost all of the required activities supporting the Arkansas Online Insurance Verification System. We will modify our Plan to address any unique requirements of the Program. Please see Attachment_7 Validati Disaster Recover and Business Continuity Plan.

5.0 Data Security Plan

Instructions: Provide a Data Security Plan.

The Sample **Data** Security Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities required in the RFP.

All content should be formatted for effective viewing.

Include or attach associated artifacts as appropriate.

Validati has an existing Data Security Plan that is used to secure data and our technology environment for a number of government programs. We have been audited by several of these government agencies for compliance. We are comfortable with the requirements of the Arkansas Online Insurance Verification System and will modify our Plan to ensure compliance. Please see Attachment_8 Validati Data Security Plan.

6.0 Maintenance Plan

Instructions: Provide a Maintenance Plan.

The Sample Maintenance Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities required in the RFP.

All content should be formatted for effective viewing.

Include or attach associated artifacts as appropriate.

Validati maintains a current Maintenance Plan for our proprietary software and hardware. Our plans are implemented and in place for multiple government agencies. We understand the requirements of the Arkansas Online Insurance Verification System and will modify our Plan to ensure compliance. Please see Attachment_9 Validati Maintenance Plan.

7.0 Ongoing User and Technical Support Plan

Instructions: Provide an Ongoing User and Technical Support Plan.

The Sample Ongoing User and Technical Support Plan should demonstrate that the Prospective Contractor has a thorough understanding of all activities required in the RFP.

All content should be formatted for effective viewing.

Include or attach associated artifacts as appropriate.

Validati currently manages both User and Technical Support for various government agencies. We will modify our existing practices to comply with the requirements of the Arkansas Online Insurance Verification System. Please see Attachment_10 Validati Ongoing User and Technical Support Plan.

Template T-7
RFP Response Checklist

RFP #: SP-18-0132

Table of Contents

1.0 Prospective Contractor Response Checklist	1
2.0 Prospective Contractor Attachments.....	2
3.0 Exceptions	3

List of Tables

Table 1. Prospective Contractor General Requirements	1
Table 2. Prospective Contractor Package 1 Checklist.....	1
Table 3. Prospective Contractor Package 2 Checklist.....	2
Table 4. Prospective Contractor General Requirements	2
Table 5. Prospective Contractor Attachment Checklist.....	2

1.0 Prospective Contractor Response Checklist

The Prospective Contractor should complete the following Tables to verify that all the RFP response requirements have been completed as instructed. The Prospective Contractor should provide specific references to Proposal locations (e.g., section and page numbers) for each Template included. During the evaluation process, OSP will perform an initial review of the Proposals to confirm these are included. If the items identified in this checklist are not included, the Proposal may be rejected.

Instructions: Complete the following Table. Do not change any of the completed cells. Any changes to the completed cells could lead to the rejection of the Proposal.

Table 1. Prospective Contractor General Requirements

PROPOSAL RESPONSE ITEM	COMPLETED AND PROVIDED AS INSTRUCTED?	
	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
Prospective Contractor's Proposal's stamped date meets date and time specified in the RFP	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
Proposal is sealed	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
Technical Proposal and Cost Proposal are sealed in separate envelopes or boxes within the "Sealed Bid." Each Proposal should be clearly marked "Technical Proposal" or "Cost Proposal"	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
Minimum Mandatory Requirements – The Prospective Contractor has documented proof that it meets the minimum mandatory requirements outlined in the RFP.	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>

Table 2. Prospective Contractor Package 1 Checklist

SECTION / TEMPLATE	PROPOSAL RESPONSE ITEM	COMPLETED AND PROVIDED AS INSTRUCTED?		REFERENCE TO PROPOSAL RESPONSE SECTION
		YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	
T-1	Cover Letter and Executive Summary	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-1, pg.1-12
T-2	Prospective Contractor Experience	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-2, pg. 1-15
T-3	Prospective Contractor Staffing	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-3, pg. 1-28
T-4	Functional Requirements	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-4, pg. 1-5
T-5	Requirements Approach	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-5, pg. 1-32
T-6	Required Plans	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-6, pg. 1-7
T-7	RFP Response Checklist	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-7, pg. 1-5

Table 3. Prospective Contractor Package 2 Checklist

SECTION / TEMPLATE	PROPOSAL RESPONSE ITEM	COMPLETED AND PROVIDED AS INSTRUCTED?	REFERENCE TO PROPOSAL RESPONSE SECTION
C-1	Cost Proposal Sheet	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	C-1, pg. 1

Table 4. Prospective Contractor General Requirements

Prospective Contractor should provide the following documents with their technical proposal response.

PROPOSAL RESPONSE ITEM	COMPLETED AND PROVIDED AS INSTRUCTED?
EO 98-04 Disclosure Form. (See <i>Standard Terms and Conditions, #27, Disclosure</i> .)	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Copy of Prospective Contractor's <i>Equal Opportunity Policy</i> . (See <i>Equal Opportunity Policy</i> .)	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
<i>Voluntary Product Accessibility Template (VPAT)</i> . (See <i>Technology Access</i> .)	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO

2.0 Prospective Contractor Attachments

The Prospective Contractor should identify all attachments that are part of the Technical or Cost Proposals. The Prospective Contractor should provide specific references to Proposal locations (e.g., section and page numbers) for each attachment included. All attachments must be included in both soft and hard Proposal copies.

Instructions: Complete the following Table with any attachments to the Technical or Cost Proposals. Add rows as necessary. Do not change any of the completed cells. Any changes to the completed cells could lead to the disqualification of the Proposal.

Table 5. Prospective Contractor Attachment Checklist

ATTACHMENT ID	ATTACHMENT NAME	ATTACHMENT PROVIDED?	REFERENCE TO PROPOSAL RESPONSE SECTION
Attachment_1	Current List of Insurance Companies	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	T-2, Section 1.2, pg.8, T-5, Section 1.0, pg.3
Attachment_2	Validati Staffing Plan	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	T-3, Section 3.0 pg. 25
Attachment_3	Validati Project Plan	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	T-6 Section 1.0 pg. 1

ATTACHMENT ID	ATTACHMENT NAME	ATTACHMENT PROVIDED?		REFERENCE TO PROPOSAL RESPONSE SECTION
		YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	
Attachment_4	Validati Implementation Plan	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-6, Section 1.0 pg.1
Attachment_5	Validati Test Plan	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-6, Section 2.0 pg. 2
Attachment_6	Validati Training Plan	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-6, Section 3.0 pg.3
Attachment_7	Validati Business Continuity and Disaster Recovery Plan	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-5, Section 10 pg.32, T-6, Section 4.0 pg.4
Attachment_8	Validati Data Security Plan	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-6, Section 5.0 pg.5
Attachment_9	Validati Maintenance Plan	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-6, Section 6.0 pg.6
Attachment_10	Validati Ongoing User and Technical Support Plan	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>	T-6, Section 7.0 pg.7

3.0 Exceptions

Any requested exceptions to items in this RFP which are NON-mandatory **must** be declared below or as an attachment to this page. Prospective Contractor **must** clearly explain the requested exception, and should label the request to reference the specific solicitation item number to which the exception applies.

Exceptions to Requirements **shall** cause the Prospective Contractor's proposal to be disqualified.

Validati takes no exception to any of the items in the RFP SP-18-0132

CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM

Failure to complete all of the following information may result in a delay in obtaining a contract, lease, purchase agreement, or grant award with any Arkansas State Agency.

SUBCONTRACTOR: _____ SUBCONTRACTOR NAME: _____

Yes No

TAXPAYER ID NAME: PASCO, Inc. IS THIS FOR: Goods? Services? Both?

YOUR LAST NAME: Spitalieri FIRST NAME: Peter M.I.: A

ADDRESS: 5600 Hudson Industrial Parkway STE 200

CITY: Hudson STATE: Ohio ZIP CODE: 44236 COUNTRY: USA

AS A CONDITION OF OBTAINING, EXTENDING, AMENDING, OR RENEWING A CONTRACT, LEASE, PURCHASE AGREEMENT, OR GRANT AWARD WITH ANY ARKANSAS STATE AGENCY, THE FOLLOWING INFORMATION MUST BE DISCLOSED:

FOR INDIVIDUALS *

Indicate below if: you, your spouse or the brother, sister, parent, or child of you or your spouse is a current or former: member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee:

Position Held	Mark (✓)		Name of Position of Job Held <small>[senator, representative, name of board/ commission, data entry, etc.]</small>	For How Long?		What is the person(s) name and how are they related to you? <small>[i.e., Jane Q. Public, spouse, John Q. Public, Jr., child, etc.]</small>	
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Relation
General Assembly							
Constitutional Officer							
State Board or Commission Member							
State Employee							

None of the above applies

FOR AN ENTITY (BUSINESS) *

Indicate below if any of the following persons, current or former, hold any position of control or hold any ownership interest of 10% or greater in the entity: member of the General Assembly, Constitutional Officer, State Board or Commission Member, State Employee, or the spouse, brother, sister, parent, or child of a member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee. Position of control means the power to direct the purchasing policies or influence the management of the entity.

Position Held	Mark (✓)		Name of Position of Job Held <small>[senator, representative, name of board/commission, data entry, etc.]</small>	For How Long?		What is the person(s) name and what is his/her % of ownership interest and/or what is his/her position of control?		
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Ownership Interest (%)	Position of Control
General Assembly								
Constitutional Officer								
State Board or Commission Member								
State Employee								

None of the above applies

Contract and Grant Disclosure and Certification Form

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.

As an additional condition of obtaining, extending, amending, or renewing a contract with a state agency I agree as follows:

1. Prior to entering into any agreement with any subcontractor, prior or subsequent to the contract date, I will require the subcontractor to complete a **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM**. Subcontractor shall mean any person or entity with whom I enter an agreement whereby I assign or otherwise delegate to the person or entity, for consideration, all, or any part, of the performance required of me under the terms of my contract with the state agency.

2. I will include the following language as a part of any agreement with a subcontractor:

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this subcontract. The party who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the contractor.

3. No later than ten (10) days after entering into any agreement with a subcontractor, whether prior or subsequent to the contract date, I will mail a copy of the **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM** completed by the subcontractor and a statement containing the dollar amount of the subcontract to the state agency.

I certify under penalty of perjury, to the best of my knowledge and belief, all of the above information is true and correct and that I agree to the subcontractor disclosure conditions stated herein.

Signature *Peter A. Spitalnik* Title President/Owner Date 01/18/2019

Vendor Contact Person Scott A. Keller Title Account Manager Phone No. 330-655-7233

Agency use only

Agency Number _____ Agency Name _____ Agency Contact Person _____ Contact Phone No. _____ Contract or Grant No. _____

EQUAL EMPLOYMENT OPPORTUNITY

Objective

PASCO is an equal opportunity employer. In accordance with anti-discrimination law, it is the purpose of this policy to effectuate these principles and mandates. PASCO prohibits discrimination and harassment of any type and affords equal employment opportunities to employees and applicants without regard to race, color, religion, sex, age, national origin, disability status, protected veteran status, or any other characteristic protected by law. PASCO conforms to the spirit as well as to the letter of all applicable laws and regulations.

Scope

The policy of equal employment opportunity (EEO) and anti-discrimination applies to all aspects of the relationship between PASCO and its employees, including:

- Recruitment.
- Employment.
- Promotion.
- Transfer.
- Training.
- Working conditions.
- Wages and salary administration.
- Employee benefits and application of policies.

The policies and principles of EEO also apply to the selection and treatment of independent contractors, personnel working on our premises who are employed by temporary agencies and any other persons or firms doing business for or with PASCO.

Dissemination and Implementation of Policy

The officers of PASCO will be responsible for the dissemination of this policy. Directors, managers and supervisors are responsible for implementing equal employment practices within each function. The HR function is responsible for overall compliance and will maintain personnel records in compliance with applicable laws and regulations.

Procedures

PASCO administers our EEO policy fairly and consistently by:

- Posting all required notices regarding employee rights under EEO laws in areas highly visible to employees.
- Advertising for job openings with the statement "*We are an equal opportunity employer and all qualified applicants will receive consideration for employment*"

without regard to race, color, religion, sex, national origin, disability status, protected veteran status, or any other characteristic protected by law."

- Posting all required job openings with the appropriate state agencies.
- Forbidding retaliation against any individual who files a charge of discrimination, opposes a practice believed to be unlawful discrimination, reports harassment, or assists, testifies or participates in an EEO agency proceeding.
- Requires employees to report to a member of management, an HR representative any apparent discrimination or harassment. The report should be made within 48 hours of the incident.
- Promptly notify HR of all incidents or reports of discrimination or harassment and takes other appropriate measures to resolve the situation.

Harassment

Harassment is a form of unlawful discrimination and violates PASCO policy. Prohibited sexual harassment, for example, is defined as unwelcome sexual advances, request for sexual favors and other verbal or physical conduct of a sexual nature when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment.
- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individuals.
- Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

Harassment also includes unwelcome conduct that is based on race, color, religion, sex (including pregnancy), national origin, age (40 or older), disability or genetic information. Harassment becomes unlawful where:

- Enduring the offensive conduct becomes a condition of continued employment, or
- The conduct is severe or pervasive enough to create a work environment that a reasonable person would consider intimidating, hostile, or abusive.

PASCO encourages employees to report all incidents of harassment to a member of management or the HR function. PASCO conducts harassment prevention training for all employees, and maintains and enforces a separate policy on harassment prevention, complaint procedures and penalties for violations. PASCO investigates all complaints of harassment promptly and fairly, and, when appropriate, takes immediate corrective action to stop the harassment and prevent it from recurring.

Remedies

Violations of this policy, regardless of whether an actual law has been violated, will not

be tolerated. PASCO will promptly, thoroughly and fairly investigate every issue that is brought to its attention in this area and will take disciplinary action, when appropriate, up to and including termination of employment.

Validati® Accessibility Conformance Report

Revised Section 508 Edition

VPAT® Version 2.2 – July 2018

Name of Product/Version: VeriTrak™ Financial Responsibility, version 6.2.2X

Product Description: Automobile Financial Responsibility Tracking and Reporting

Date: January 2019

Contact information: skeller@pasco-group.com

Notes:

The VeriTrak™ Financial Responsibility system has not been evaluated for WCAG 2.0 Level AAA; therefore, the WCAG 2.0 Level AAA evaluation table is not included in this report.

Evaluation Methods Used: Evaluation is based on a combination of code review and testing the product using Internet Explorer and Windows Narrator.

Applicable Standards/Guidelines

This report covers the degree of conformance for the following accessibility standard/guidelines:

Standard/Guideline	Included In Report
Web Content Accessibility Guidelines 2.0, at http://www.w3.org/TR/2008/REC-WCAG20-20081211/	Level A (Yes) Level AA (Yes) Level AAA (No)
Revised Section 508 standards as published by the U.S. Access Board in the Federal Register on January 18, 2017 Corrections to the ICT Final Rule as published by the US Access Board in the Federal Register on January 22, 2018	(Yes)

Terms

The terms used in the Conformance Level information are defined as follows:

- **Supports:** The functionality of the product has at least one method that meets the criterion without known defects or meets with equivalent facilitation.
- **Partially Supports:** Some functionality of the product does not meet the criterion.
- **Does Not Support:** The majority of product functionality does not meet the criterion.
- **Not Applicable:** The criterion is not relevant to the product.
- **Not Evaluated:** The product has not been evaluated against the criterion. This can be used only in WCAG 2.0 Level AAA.

WCAG 2.0 Report

Tables 1 and 2 also document conformance with:

- Chapter 5 – 501.1 Scope, 504.2 Content Creation or Editing
- Chapter 6 – 602.3 Electronic Support Documentation

Note: When reporting on conformance with the WCAG 2.0 Success Criteria, they are scoped for full pages, complete processes, and accessibility-supported ways of using technology as documented in the [WCAG 2.0 Conformance Requirements](#).

Table 1: Success Criteria, Level A

Notes:

Criteria	Conformance Level	Remarks and Explanations
<p><u>1.1.1 Non-text Content</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports</p> <p>Electronic Docs: Supports Software: Not applicable</p> <p>Authoring Tool: Not applicable</p>	<p>Web: Supports</p> <p>Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p><u>1.1.2 Audio-only and Video-only (Prerecorded)</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Not applicable</p> <p>Electronic Docs: Not applicable</p> <p>Software: Not applicable</p> <p>Authoring Tool: Not applicable</p>	<p>Web: Web site does not include prerecorded content.</p> <p>Electronic Docs: No prerecorded content included.</p> <p>Software: No prerecorded content included.</p> <p>Authoring Tool: No authoring tool included.</p>
<p><u>1.2.2 Captions (Prerecorded)</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Not applicable</p> <p>Electronic Docs: Not applicable</p> <p>Software: Not applicable</p> <p>Authoring Tool: Not applicable</p>	<p>Web: Web site does not include prerecorded content.</p> <p>Electronic Docs: No prerecorded content included.</p> <p>Software: No prerecorded content included.</p> <p>Authoring Tool: No authoring tool included.</p>

<p><u>1.2.3 Audio Description or Media Alternative (Prerecorded)</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Not applicable Electronic Docs: Not applicable Software: Not applicable</p> <p>Authoring Tool: Not applicable</p>	<p>Web: Web site does not include prerecorded content. Electronic Docs: No prerecorded content included. Software: No prerecorded content included.</p> <p>Authoring Tool: No authoring tool included.</p>
<p><u>1.3.1 Info and Relationships</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p><u>1.3.2 Meaningful Sequence</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p><u>1.3.3 Sensory Characteristics</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p><u>1.4.1 Use of Color</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p><u>1.4.2 Audio Control</u> (Level A)</p> <p>Also applies to: Revised Section 508</p>	<p>Web: Not applicable Electronic Docs: Not applicable</p>	<p>Web: No audio content included. Electronic Docs: No audio content included. Software: No audio content included.</p>

<ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Software: Not applicable Authoring Tool: Not applicable	Authoring Tool: No authoring tool included.
<p><u>2.1.1 Keyboard</u> (Level A)</p> Also applies to: Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<p><u>2.1.2 No Keyboard Trap</u> (Level A)</p> Also applies to: Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<p><u>2.2.1 Timing Adjustable</u> (Level A)</p> Also applies to: Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<p><u>2.2.2 Pause, Stop, Hide</u> (Level A)</p> Also applies to: <ul style="list-style-type: none"> • Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Web: Not applicable Electronic Docs: Not applicable Software: Not applicable Authoring Tool: Not applicable	Web: No recorded content included. Electronic Docs: No recorded content included. Software: No recorded content included. Authoring Tool: No authoring tool included.
<p><u>2.3.1 Three Flashes or Below Threshold</u> (Level A)</p> Also applies to: Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.

<p><u>2.4.1 Bypass Blocks</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) – Does not apply to non-web software • 504.2 (Authoring Tool) • 602.3 (Support Docs) – Does not apply to non-web docs 	<p>Web: Supports Electronic Docs: Supports Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Authoring Tool: No authoring tool included.</p>
<p><u>2.4.2 Page Titled</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p><u>2.4.3 Focus Order</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p><u>2.4.4 Link Purpose (In Context)</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p><u>3.1.1 Language of Page</u> (Level A)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p><u>3.2.1 On Focus</u> (Level A)</p> <p>Also applies to: Revised Section 508</p>	<p>Web: Supports Electronic Docs: Supports Software: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user</p>

<ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Authoring Tool: Not applicable	interface. Authoring Tool: No authoring tool included.
<p>3.2.2 On Input (Level A)</p> Also applies to: Revised Section 508	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<p>3.3.1 Error Identification (Level A)</p> Also applies to: Revised Section 508	Web: Supports Electronic Docs: Not applicable Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Not applicable, Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<p>3.3.2 Labels or Instructions (Level A)</p> Also applies to: Revised Section 508	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<p>4.1.1 Parsing (Level A)</p> Also applies to: Revised Section 508	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Electronic Docs: Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<p>4.1.2 Name, Role, Value (Level A)</p> Also applies to: Revised Section 508	Web: Partially Supports Electronic Docs: Does not support Software: Authoring Tool:	Web: Not all input and other controls have a label or title programmatically associated with them. Electronic Docs: Electronic form documents do not have input fields with labels titles programmatically associated with them. Software: Non-web software does not have a user

interface.
 Authoring Tool: No authoring tool included.

Table 2: Success Criteria, Level AA

Notes:

Criteria	Conformance Level	Remarks and Explanations
<p>1.2.4 Captions (Live) (Level AA) Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Not applicable Electronic Docs: Not applicable Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: No video content included. Electronic Docs: No video content included. Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p>1.2.5 Audio Description (Prerecorded) (Level AA) Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Not applicable Electronic Docs: Not applicable Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: No prerecorded content included. Electronic Docs: No prerecorded content included. Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p>1.4.3 Contrast (Minimum) (Level AA) Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p>1.4.4 Resize text (Level AA) Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	<p>Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable</p>	<p>Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.</p>
<p>1.4.5 Images of Text (Level AA)</p>	<p>Web: Supports</p>	<p>Web: Supports</p>

Criteria	Conformance Level	Remarks and Explanations
Also applies to: Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Electronic Docs: Supports Software: Authoring Tool:	Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<u>2.4.5 Multiple Ways</u> (Level AA) Also applies to: Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) – Does not apply to non-web software • 504.2 (Authoring Tool) • 602.3 (Support Docs) – Does not apply to non-web docs 	Web: Supports Electronic Docs: Not applicable Authoring Tool: Not applicable	Web: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<u>2.4.6 Headings and Labels</u> (Level AA) Also applies to: Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<u>2.4.7 Focus Visible</u> (Level AA) Also applies to: Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<u>3.1.2 Language of Parts</u> (Level AA) Also applies to: Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) • 504.2 (Authoring Tool) • 602.3 (Support Docs) 	Web: Supports Electronic Docs: Supports Software: Authoring Tool:	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<u>3.2.3 Consistent Navigation</u> (Level AA) Also applies to: Revised Section 508 <ul style="list-style-type: none"> • 501 (Web)(Software) – Does not apply to non-web software 	Web: Supports Electronic Docs: Not applicable Authoring Tool: Not	Web: Supports Electronic Docs: Not Applicable Authoring Tool: No authoring tool included.

Criteria	Conformance Level	Remarks and Explanations
<ul style="list-style-type: none"> 504.2 (Authoring Tool) 602.3 (Support Docs) – Does not apply to non-web docs 	applicable	
<p>3.2.4 Consistent Identification (Level AA)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> 501 (Web)(Software) – Does not apply to non-web software 504.2 (Authoring Tool) 602.3 (Support Docs) – Does not apply to non-web docs 	Web: Supports Electronic Docs: Supports Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Authoring Tool: No authoring tool included.
<p>3.3.3 Error Suggestion (Level AA)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> 501 (Web)(Software) 504.2 (Authoring Tool) 602.3 (Support Docs) 	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.
<p>3.3.4 Error Prevention (Legal, Financial, Data) (Level AA)</p> <p>Also applies to: Revised Section 508</p> <ul style="list-style-type: none"> 501 (Web)(Software) 504.2 (Authoring Tool) 602.3 (Support Docs) 	Web: Supports Electronic Docs: Supports Software: Not applicable Authoring Tool: Not applicable	Web: Supports Electronic Docs: Supports Software: Non-web software does not have a user interface. Authoring Tool: No authoring tool included.

Revised Section 508 Report

Notes:

Chapter 3: Functional Performance Criteria (FPC)

Notes:

Criteria	Conformance Level	Remarks and Explanations
302.1 Without Vision	Supports	

Criteria	Conformance Level	Remarks and Explanations
302.2 With Limited Vision	Supports	
302.3 Without Perception of Color	Partially supports	See WCAG sections above
302.4 Without Hearing	Not applicable	No audio content included.
302.5 With Limited Hearing	Not applicable	No audio content included.
302.6 Without Speech	Not applicable	No speech input controls included.
302.7 With Limited Manipulation	Supports	
302.8 With Limited Reach and Strength	Supports	
302.9 With Limited Language, Cognitive, and Learning Abilities	Supports	

Chapter 4: Hardware

Notes: The VeriTrak™ Financial Responsibility system does not include closed hardware.

Criteria	Conformance Level	Remarks and Explanations
402 Closed Functionality	Heading cell – no response required	Heading cell – no response required
402.1 General	Heading cell – no response required	Heading cell – no response required
402.2 Speech-Output Enabled	Heading cell – no response required	Heading cell – no response required
402.2.1 Information Displayed On-Screen	Not applicable	No closed functionality included.
402.2.2 Transactional Outputs	Not applicable	No closed functionality included.
402.2.3 Speech Delivery Type and Coordination	Not applicable	No closed functionality included.
402.2.4 User Control	Not applicable	No closed functionality included.
402.2.5 Braille Instructions	Not applicable	No closed functionality included.
402.3 Volume	Heading cell – no response required	Heading cell – no response required
402.3.1 Private Listening	Not applicable	No closed functionality included.
402.3.2 Non-private Listening	Not applicable	No closed functionality included.
402.4 Characters on Display Screens	Not applicable	No closed functionality included.
402.5 Characters on Variable Message Signs	Not applicable	No closed functionality included.
403 Biometrics	Heading cell – no response required	Heading cell – no response required
403.1 General	Not applicable	No biometrics used.
404 Preservation of Information Provided for Accessibility	Heading cell – no response required	Heading cell – no response required
404.1 General	Supports	Supports

Criteria	Conformance Level	Remarks and Explanations
405 Privacy	Heading cell – no response required	Heading cell – no response required
405.1 General	Supports	Supports
406 Standard Connections	Heading cell – no response required	Heading cell – no response required
406.1 General	Supports	Supports
407 Operable Parts	Heading cell – no response required	Heading cell – no response required
407.2 Contrast	Supports	Supports
407.3 Input Controls	Heading cell – no response required	Heading cell – no response required
407.3.1 Tactilely Discernible	Supports	Supports
407.3.2 Alphabetic Keys	Supports	Supports
407.3.3 Numeric Keys	Supports	Supports
407.4 Key Repeat	Supports	Supports
407.5 Timed Response	Not applicable	See WCAG sections above.
407.6 Operation	Supports	Supports
407.7 Tickets, Fare Cards, and Keycards	Not applicable	No Tickets, Fare Cards or Keycards used.
407.8 Reach Height and Depth	Heading cell – no response required	Heading cell – no response required
407.8.1 Vertical Reference Plane	Supports	Supports
407.8.1.1 Vertical Plane for Side Reach	Supports	Supports
407.8.1.2 Vertical Plane for Forward Reach	Supports	Supports
407.8.2 Side Reach	Supports	Supports
407.8.2.1 Unobstructed Side Reach	Supports	Supports
407.8.2.2 Obstructed Side Reach	Supports	Supports
407.8.3 Forward Reach	Supports	Supports
407.8.3.1 Unobstructed Forward Reach	Supports	Supports
407.8.3.2 Obstructed Forward Reach	Supports	Supports
407.8.3.2.1 Operable Part Height for ICT with Obstructed Forward Reach	Supports	Supports
407.8.3.2.2 Knee and Toe Space under ICT with Obstructed Forward Reach	Supports	Supports
408 Display Screens	Heading cell – no response required	Heading cell – no response required
408.2 Visibility	Supports	Supports
408.3 Flashing	Supports	Supports

Criteria	Conformance Level	Remarks and Explanations
409 Status Indicators	Heading cell – no response required	Heading cell – no response required
409.1 General	Supports	Supports
410 Color Coding	Heading cell – no response required	Heading cell – no response required
410.1 General	Supports	Supports
411 Audible Signals	Heading cell – no response required	Heading cell – no response required
411.1 General	Supports	Supports
412 ICT with Two-Way Voice Communication	Heading cell – no response required	Heading cell – no response required
412.2 Volume Gain	Heading cell – no response required	Heading cell – no response required
412.2.1 Volume Gain for Wireline Telephones	Supports	Supports
412.2.2 Volume Gain for Non-Wireline ICT	Supports	Supports
412.3 Interference Reduction and Magnetic Coupling	Heading cell – no response required	Heading cell – no response required
412.3.1 Wireless Handsets	Supports	Supports
412.3.2 Wireline Handsets	Supports	Supports
412.4 Digital Encoding of Speech	Supports	Supports
412.5 Real-Time Text Functionality	Reserved for future	Reserved for future
412.6 Caller ID	Supports	Softphone caller ID can be read by a screen reader.
412.7 Video Communication	Supports	
412.8 Legacy TTY Support	Heading cell – no response required	Heading cell – no response required
412.8.1 TTY Connectability	Does not support	Validati has no TTY capabilities.
412.8.2 Voice and Hearing Carry Over	Does not support	Validati has no TTY capabilities.
412.8.3 Signal Compatibility	Does not support	Validati has no TTY capabilities.
412.8.4 Voice Mail and Other Messaging Systems	Does not support	Validati has no TTY capabilities.
413 Closed Caption Processing Technologies	Heading cell – no response required	Heading cell – no response required
413.1.1 Decoding and Display of Closed Captions	Supports	Supports
413.1.2 Pass-Through of Closed Caption Data	Supports	Supports
414 Audio Description Processing Technologies	Heading cell – no response required	Heading cell – no response required
414.1.1 Digital Television Tuners	Supports	Supports
414.1.2 Other ICT	Supports	Supports
415 User Controls for Captions and Audio Descriptions	Heading cell – no response required	Heading cell – no response required
415.1.1 Caption Controls	Supports	Supports

Criteria	Conformance Level	Remarks and Explanations
415.1.2 Audio Description Controls	Supports	Supports

Chapter 5: Software

Notes:

Criteria	Conformance Level	Remarks and Explanations
501.1 Scope – Incorporation of WCAG 2.0 AA	See WCAG 2.0 section	See information in WCAG section
502 Interoperability with Assistive Technology	Heading cell – no response required	Heading cell – no response required
502.2.1 User Control of Accessibility Features	Supports	Supports
502.2.2 No Disruption of Accessibility Features	Supports	Supports
502.3 Accessibility Services	Heading cell – no response required	Heading cell – no response required
502.3.1 Object Information	Supports	See WCAG 2.0 section
502.3.2 Modification of Object Information	Supports	Supports
502.3.3 Row, Column, and Headers	Supports	Supports
502.3.4 Values	Supports	Supports
502.3.5 Modification of Values	Supports	Supports
502.3.6 Label Relationships	Supports	Supports
502.3.7 Hierarchical Relationships	Supports	Supports
502.3.8 Text	Supports	Supports
502.3.9 Modification of Text	Supports	Supports
502.3.10 List of Actions	Supports	Supports
502.3.11 Actions on Objects	Supports	Supports
502.3.12 Focus Cursor	Supports	Supports
502.3.13 Modification of Focus Cursor	Supports	Supports
502.3.14 Event Notification	Supports	Supports
502.4 Platform Accessibility Features	Supports	Supports
503 Applications	Heading cell – no response required	Heading cell – no response required
503.2 User Preferences	Supports	Supports
503.3 Alternative User Interfaces	Supports	Supports
503.4 User Controls for Captions and Audio Description	Heading cell – no response required	Heading cell – no response required

Criteria	Conformance Level	Remarks and Explanations
503.4.1 Caption Controls	Supports	Supports
503.4.2 Audio Description Controls	Supports	Supports
504 Authoring Tools	Heading cell – no response required	Heading cell – no response required
504.2 Content Creation or Editing (if not authoring tool, enter “not applicable”)	See WCAG 2.0 section	See information in WCAG section
504.2.1 Preservation of Information Provided for Accessibility in Format Conversion	Not applicable	No authoring tool included.
504.2.2 PDF Export	Not applicable	No authoring tool included.
504.3 Prompts	Not applicable	No authoring tool included.
504.4 Templates	Not applicable	No authoring tool included.

Chapter 6: Support Documentation and Services

Notes:

Criteria	Conformance Level	Remarks and Explanations
601.1 Scope	Heading cell – no response required	Heading cell – no response required
602 Support Documentation	Heading cell – no response required	Heading cell – no response required
602.2 Accessibility and Compatibility Features	Supports	Supports
602.3 Electronic Support Documentation	See WCAG 2.0 section	See information in WCAG section
602.4 Alternate Formats for Non-Electronic Support Documentation	Supports	Supports
603 Support Services	Heading cell – no response required	Heading cell – no response required
603.2 Information on Accessibility and Compatibility Features	Supports	Supports
603.3 Accommodation of Communication Needs	Supports	Supports

Legal Disclaimer (Company)

Applicability of the following terms and conditions

Copyright and other Intellectual Property Rights

Use of the Validati logo

By using a link to a third party's website, you leave the website of Validati. Validati has not verified the websites of third parties linked to the website of Validati and does not assume any responsibility for their content

Attachment_1 Current List of Insurance Companies

State	NAIC #	Active Insurance Company Name	Daing Business	Comments
AR	10023	ALLIANCE OF RISK RETENTION GROUP	No NAICS	Not found on NAICS Web
AR	10030	WESTCHESTER FIRE INSURANCE CO	Yes	
AR	10051	LYNDON SOUTHERN INS CO	Yes	
AR	10052	CHUBB NATL INS CO	Yes	
AR	10071	ENCOMPASS INSURANCE OF AMERICA	Yes	
AR	10111	AMERICAN BANKERS INS OF FL	Yes	
AR	10120	EVEREST NATIONAL INS CO	Yes	
AR	10127	ALLIED INS CO OF AMER	Yes	
AR	10178	FCCI INSURANCE COMPANY	Yes	
AR	10204	CONSUMERS INS CO	Yes	
AR	10212	ALLAMERICA FINANCIAL ALLIANCE INS	Yes	
AR	10243	NATIONAL CONTINENTAL INSURANCE	Yes	
AR	10251	AMERICAN UNDERWRITERS INS CO	No	Only Licensed in Arkansas
AR	10349	ACCEPTANCE CAS INS CO	No	
AR	10464	CANAL INS CO	Yes	
AR	10472	CAPITOL INDEMNITY CORP	Yes	
AR	10510	CAROLINA CASUALTY INS CO	Yes	
AR	10676	FIRST GUARD INSURANCE COMPANY	Yes	
AR	10677	CINCINNATI INS COMPANY	Yes	
AR	10723	NATIONWIDE ASSURANCE CO	Yes	
AR	10749	INTREPID INS CO	Yes	
AR	10783	CORNERSTONE NATIONAL INS	Yes	
AR	10804	BERKLEY MID ATLANTIC GROUP	Yes	
AR	10847	CUMIS INS SOCIETY INC	Yes	
AR	10855	CYPRESS INS CO	Yes	
AR	10936	SENECA INSURANCE COMPANY INC	Yes	
AR	10945	TOKIO MARINE AMERICA INS	Yes	
AR	10974	ROOT INS CO	Yes	
AR	11000	SENTINEL INSURANCE CO LTD	Yes	
AR	11004	TREXIS (ALFA)	Yes	
AR	11050	AMERISURE PARTNERS INS CO	Yes	
AR	11118	FEDERATED RURAL ELEC INS CORP	Yes	
AR	11126	SOMPO AMERICA	Yes	
AR	11134	RURAL TRUST INSURANCE COMPANY	Yes	
AR	11150	ARCH INSURANCE COMPANY	Yes	
AR	11185	FOREMOST INS CO	Yes	
AR	11371	GREAT WEST CASUALTY CO	Yes	
AR	11770	UNITED FINANCIAL CASUALTY CO	Yes	
AR	11800	FORMOST PROP & CAS INS CO	Yes	
AR	11839	CIRCLE STAR INS A RISK RET GROUP	No	
AR	11991	NATIONAL CASUALTY CO	Yes	
AR	12188	TREXIS (ALFA)	Yes	
AR	12262	PENNSYLVANIA MANUFACTURERS INS CO	Yes	
AR	12416	PROTECTIVE INSURANCE CO	Yes	
AR	12588	PRIME INS CO	Yes	
AR	12696	AMERICA FIRST INSURANCE CO	No	
AR	12777	CHUBB INDEMNITY INS CO	Yes	
AR	12831	STATE NATIONAL INS CO	Yes	
AR	12873	PRIVILEGE UNDERWRITERSRECI	Yes	
AR	12936	HOUSTON SPECIALTY INSURANCE COMPANY	Yes	
AR	13021	UNITED FIRE & CASUALTY INS CO	Yes	
AR	13056	RLI INS CO	Yes	
AR	13137	VIKING INS. CO. OF WISCONSIN	Yes	
AR	13242	TITAN INDEMNITY	Yes	
AR	13528	BROTHERHOOD MUTUAL INS CO	Yes	
AR	13587	FIRST CHICAGO INSURANCE COMPANY	Not Licensed in AR	As of 2017 Annual Report.
AR	13714	PHARMACISTS MUTUAL INS CO	Yes	
AR	13838	FARMLAND MUTUAL INS CO	Yes	
AR	13897	FARMERS MUT. HALL INS CO OF IOWA	Yes	
AR	13935	FEDERATED MUTUAL INS CO	Yes	
AR	13978	FLORIST'S MUTUAL INS CO	Yes	
AR	14137	GEICO SECURE INS CO	Yes	
AR	14138	GEICO ADVANTAGE	Yes	
AR	14139	GEICO CHOICE INS	Yes	
AR	14207	SPIRIT COMMERCIAL AUTO RISK	Yes	
AR	14559	GUIDEONE SPECIALTY MUTUAL INS CO	Yes	
AR	14974	PENNSYLVANIA LUMBERMANS MUTUAL INS	Yes	
AR	14982	PENN MILLERS INSURANCE COMPANY	Yes	
AR	15032	GUIDEONE MUTUAL INSURANCE CO.	Yes	
AR	15105	SAFETY NATIONAL CAS CORP.	Yes	
AR	15130	ENCOMPASS INDEMNITY CO	Yes	
AR	15512	AUTO INTER INSURANCE EXCHANGE	Yes	
AR	15725	CAMERON MUTUAL INS CO	No	
AR	15947	COUNTY HALL INSURANCE COMPANY INC., A RISK RETENTION GROUP	Yes	
AR	15954	AMTRUST INS CO OF KANSAS	Yes	
AR	16047	SOUTHERN PIONEER INSURANCE	No	
AR	16217	NAT'L FARMERS UNION PROP & CAS CO	Yes	

Attachment_1 Current List of Insurance Companies

State	NAIC #	Active Insurance Company Name	Doing Business	Comments
AR	16322	PROGRESSIVE DIRECT INSURANCE	Yes	
AR	16535	ZURICH AMERICAN INS GROUP	Yes	
AR	16608	NEW YORK MARINE AND GEN INS CO	Yes	
AR	16691	GREAT AMERICAN INS	Yes	
AR	17230	ALLSTATE PROP & CAS CO	Yes	
AR	17647	UNITED HOME INSURANCE CO	No	
AR	18023	STAR INSURANCE CO	Yes	
AR	18058	PHILADELPHIA INDEMNITY INS CO	Yes	
AR	18279	BANKERS STANDARD INS CO	Yes	
AR	18295	LAFAYETTE INS CO	No	
AR	18325	SOUTHERN FARM CASUALTY INS CO	No	
AR	18333	PEERLESS INDEMNITY INSURANCE CO	Yes	
AR	18430	AGRICULTURAL WORKERS AUTO INS CO	No	
AR	18600	USAA GENERAL IMDENITY INS CO	Yes	
AR	18694	GREAT MIDWEST INS.	Yes	
AR	18767	CHURCH MUTUAL INS CO	Yes	
AR	18988	OWNERS INSURANCE COMPANY	Yes	
AR	19046	TRAVELERS CASUALTY INS CO OF AMERICA	Yes	
AR	19062	THE AUTOMOBILE INS CO OF HARTFORD CT	Yes	
AR	19070	THE STANDARD FIRE INSURANCE COMPANY	Yes	
AR	19100	AMCO INSURANCE	Yes	
AR	19216	SOUTHERN INSURANCE COMPANY	Yes	
AR	19224	ST. PAUL PROTECTIVE INSURANCE COMPANY	Yes	
AR	19232	ALLSTATE INS CO	Yes	
AR	19240	ALLSTATE INDEMNITY CO.	Yes	
AR	19305	ASSURANCE CO OF AMERICA	Yes	
AR	19321	MAINE BONDING & CASUALTY INS	No NAICS	Not found on NAICs Web
AR	19348	MARYLAND INSURANCE CO.	Yes	
AR	19356	MARYLAND CASUALTY CO	Yes	
AR	19364	NATIONAL STANDARD	Yes	
AR	19372	NORTHERN INS CO OF NEW YORK	Yes	
AR	19380	AMERICAN HOME ASSURANCE CO	Yes	
AR	19402	AIG PROPERTY AND CASALTY CO	Yes	
AR	19410	COMMERCE AND INDUSTRY INS. CO	Yes	
AR	19429	INS. CO OF THE STATE OF PENNSYLVANIA	Yes	
AR	19437	LEXINGTON INSURANCE CO	Yes	
AR	19445	NATL UNION FIRE CO OF PITTSBURG	Yes	
AR	19488	THE AMERISURE INSURANCE CO	Yes	
AR	19615	AMERICAN RELIABLE INS.CO.	Yes	
AR	19631	THE AMERICAN ROAD INS CO	Yes	
AR	19658	BRISTOL WEST INS CO	Yes	
AR	19682	THE HARTFORD FIRE INS CO	Yes	
AR	19690	AMERICAN ECONOMY INS CO	Yes	
AR	19704	AMERICAN STATES INS CO	Yes	
AR	19720	AMERICAN ALTERATIVE INS CORP	Yes	
AR	19801	ARGONAUT INSURANCE COMPANY	Yes	
AR	19828	ARGONAUT MIDWEST INSURANCE CO	Yes	
AR	19860	ARGONAUT GREAT CENTRL INS	Yes	
AR	19879	SECURITY NATIONAL INS CO	Yes	
AR	19887	TRINITY UNIVERSAL INS CO	Yes	
AR	19976	AMICA MUTUAL INSURANCE CO	Yes	
AR	20010	ACCEPTANCE INDEMNITY INS. CO	Yes	
AR	20044	BERKSHIRE HATHAWAY HOMESTATE INS CO	Yes	
AR	20052	NATIONAL LIABILITY & FIRE INS. CO.	Yes	
AR	20087	NATIONAL INDEMNITY CO	Yes	
AR	20095	BITUMINOUS CASUALTY CORP.	Yes	
AR	20109	BITUMINOUS FIRE & MARINE INS.CO	Yes	
AR	20117	CALIFORNIA CAS INDEMNITY EXCHANGE	Yes	
AR	20141	NATIONAL TRUST INSURANCE CO	Yes	
AR	20281	FEDERAL INS CO	Yes	
AR	20303	GREAT NORTHERN INS CO	Yes	
AR	20346	PACIFIC INDEMNITY CO	Yes	
AR	20362	MIITSUI SUMITOMO INS CO OF AMERICA	Yes	
AR	20397	VIGILANT INS CO	Yes	
AR	20427	AMERICAN CASUALTY OF READING	Yes	
AR	20443	CONTINENTAL CASUALTY CO	Yes	
AR	20478	NATL FIRE INS OF HARTFORD	Yes	
AR	20494	TRANSPORTATION INS CO	Yes	
AR	20508	VALLEY FORGE INS	Yes	
AR	20699	ACE PROPERTY & CASUALTY INS CO	Yes	
AR	20702	ACE FIRE UNDERWRITERS INS CO	Yes	
AR	20710	CENTURY INDEMNITY CO	Yes	
AR	21105	THE NORTH RIVER INSURANCE COMP	Yes	
AR	21113	UNITED STATES FIRE INSUR COMP	Yes	
AR	21164	DAIRYLAND INS CO	Yes	
AR	21172	VANLINER INS CO	Yes	
AR	21180	SENTRY SELECT INSURANCE CO	Yes	

Attachment_1 Current List of Insurance Companies

State	NAIC #	Active Insurance Company Name	Doing Business	Comments
AR	21253	GARRISON P & C	Yes	
AR	21261	ELECTRIC INS CO	Yes	
AR	21326	EMPIRE FIRE & MARINE INS	Yes	
AR	21407	EMCASCO INSURANCE CO.	Yes	
AR	21415	EMPLOYERS MUTUAL CASUALTY CO	Yes	
AR	21423	UNION INSURANCE COMPANY OF PROV	Yes	
AR	21458	EMPLOYERS INS CO. OF WAUSAUCHAN	Yes	
AR	21628	FARMERS INS CO,INC	Yes	
AR	21687	MID CENTURY INSURANCE CO	Yes	
AR	21709	TRUCK INSURANCE EXCHANGE	Yes	
AR	21784	BERKLEY MID ATLANTIC GROUP	Yes	
AR	21849	AMERICAN AUTOMOBILE INS CO	Yes	
AR	21857	THE AMERICAN INS CO	Yes	
AR	21865	ASSOCIATED INDEMNITY CORP	Yes	
AR	21873	FIREMANS FUND INS CO	Yes	
AR	21881	NATIONAL SURETY CORP.	Yes	
AR	22055	GEICO INDEMNITY COMPANY	Yes	
AR	22063	GOVERNMENT EMPL INSURANCE CDMP	Yes	
AR	22136	GREAT AMERICAN INS CO OF NY	Yes	
AR	22276	BERKSHIRE HATHAWAY SPECIALTY INSURANCE COMPANY	Yes	
AR	22292	HANOVER INSURANCE CO	Yes	
AR	22306	MASS BAY INS CO.	Yes	
AR	22322	GREENWICH INS CO	Yes	
AR	22357	HARTFORD ACCIDENT & INDEMNITY	Yes	
AR	22551	MITSUI SUMITOMO INSURANCE USA INC	Yes	
AR	22578	HORACE MANN INS CO	Yes	
AR	22608	NATIONAL SPECIALTY	Yes	
AR	22667	ACE AMERICAN INS CO	Yes	
AR	22683	TEACHERS INS CO	Yes	
AR	22713	INSURANCE CO OF NORTH AMERICA	Yes	
AR	22748	PACIFIC EMPLOYERS INS CO	Yes	
AR	22756	HORACE MANN PROP & CAS INS CO	Yes	
AR	22926	ECONOMY FIRE & CASUALTY CO	Yes	
AR	23035	LIBERTY MUTUAL FIRE INS CO	Yes	
AR	23043	LIBERTY MUTUAL INSURANCE CO	Yes	
AR	23140	ASSOCIATED INDUSTRIES INSURANCE CO, INC	Yes	
AR	23248	OCCIDENTAL FIRE & CASUALTY CO OF NC	Yes	
AR	23280	CINCINNATI FINANCIAL CORP.	Yes	
AR	23353	MERIDIAN SECURITY INSURANCE COMPANY	Yes	
AR	23361	SHELTER GENERAL INSURANCE CO	Yes	
AR	23388	SHELTER MUTUAL INS CO	Yes	
AR	23396	AMERISURE MUTUAL INSURANCE CO.	Yes	
AR	23418	MID CONTINENT CASUALTY CO	Yes	
AR	23450	AMERICAN FAMILY HOME INSURANCE	Yes	
AR	23469	AMERICAN HOME INS CO	Yes	
AR	23582	HARLEYSVILLE INS	Yes	
AR	23647	IRONSHORE INDEMNITY INCORPORATED	Yes	
AR	23663	NATIONAL AMERICAN INSURANCE CO	Yes	
AR	23728	NATIONAL GENERAL INSURANCE COMPANY	Yes	
AR	23736	DIRECT NATIONAL INS CO	Yes	
AR	23760	ALLIED INS CO. OF AMER	Yes	
AR	23779	NATIONWIDE MUTUAL FIRE INS CO	Yes	
AR	23787	NATIONWIDE MUTUAL INS CO	Yes	
AR	23809	GRANITE STATE INS. CO.	Yes	
AR	23841	NEW HAMPSHIRE INS CO	Yes	
AR	24015	NORTHLAND INSURANCE CO	Yes	
AR	24081	NORTHLAND CASUALTY INS	Yes	
AR	24066	AMERICAN FIRE & CASUALTY COMPANY	Yes	
AR	24074	OHIO CASUALTY INSURANCE CO	Yes	
AR	24082	OHIO SECURITY	Yes	
AR	24139	OLD REPUBLIC GEN INS CORP.	Yes	
AR	24147	OLD REPUBLIC INS CO	Yes	
AR	24171	THE NETHERLANDS INS CO	Yes	
AR	24198	PEERLESS INSURANCE CO	Yes	
AR	24260	PROGRESSIVE CASUALTY INS CO	Yes	
AR	24414	GENERAL CASUALTY COMP OF WISCONSIN	Yes	
AR	24449	REGENT INSURANCE COMPANY	Yes	
AR	24538	REPUBLIC UNDERWRITERS INS CO	Yes	
AR	24554	XL INSURANCE AMERICA	Yes	
AR	24724	FIRST NATL INS CO	Yes	
AR	24732	GENERAL INS CO OF AMERICA	Yes	
AR	24740	SAFECO INS CO OF AMERICA	Yes	
AR	24767	ST. PAUL FIRE AND MARINE INSURANCE CO	Yes	
AR	24775	ST. PAUL GUARDIAN INSURANCE COMPANY	Yes	
AR	24791	ST. PAUL MERCURY INSURANCE COMPANY	Yes	
AR	24988	SENTRY INSURANCE, A MUTUAL CO	Yes	
AR	25011	WESCO INS. CO./CO INSURTY	Yes	

Attachment_1 Current List of Insurance Companies

State	NAIC #	Active Insurance Company Name	Daing Business	Comments
AR	25054	HUDSON INS CO	Yes	
AR	25127	STATE AUTO PROPERTY & CASUALTY	Yes	
AR	25135	STATE AUTO MUTUAL	Yes	
AR	25143	STATE FARM FIRE & CASUALTY INS CO	Yes	
AR	25178	STATE FARM MUTUAL INS CO	Yes	
AR	25186	EMC PROPERTY AND CASUALTY COMP	Yes	
AR	25224	GREAT DIVIDE INS. COMPANY	Yes	
AR	25321	METROPOLITAN DIRECT PROPERTY & CASUALTY INSURANCE COMPANY	Yes	
AR	25615	THE CHARTER OAK FIRE INSURANCE COMPANY	Yes	
AR	25623	THE PHOENIX INSURANCE COMPANY	Yes	
AR	25658	THE TRAVELERS INDEMNITY COMPANY	Yes	
AR	25666	THE TRAVELERS INDEMNITY CO OF AMERICA	Yes	
AR	25674	TRAVELERS PROPERTY CASUALTY CO AMERICA	Yes	
AR	25682	THE TRAVELERS INDEMNITY CO OF CONNECTICUT	Yes	
AR	25844	BERKLEY MID ATLANTIC GROUP	Yes	
AR	25895	UNITED STATES LIABILITY INS CO	Yes	
AR	25941	UNITED SERVICE AUTO ASSOC.	Yes	
AR	25968	USAA CASUALTY INS CO	Yes	
AR	25976	UTICA MUTUAL INS	Yes	
AR	25984	GRAPHICS ARTS MUTUAL INS CO	Yes	
AR	26042	WAUSAU UNDERWRITERS INS CO	Yes	
AR	26069	WAUSAU BUSINESS INS CO	Yes	
AR	26182	HARLEYSVILLE WORCESTER INS	Yes	
AR	26247	AMERICAN GUARANTEE & LIABILITY	Yes	
AR	26298	METROPOLITAN PROPERTY & CASUALTY INS	Yes	
AR	26344	GREAT AMERICAN ASSURANCE CO	Yes	
AR	26438	HARCO NATIONAL INSURANCE	Yes	
AR	26662	MILFORD CASUALTY INS. CO. (MCI)	Yes	
AR	26808	HALLMARK SPECIALTY INSURANCE CO	Yes	
AR	26892	GREAT AMERICAN ALLIANCE INS CO	Yes	
AR	27120	TRUMBULL INSURANCE CO	Yes	
AR	27138	MIDVALE INDEMNITY COMPANY	Yes	
AR	27154	ATLANTIC SPECIALTY INSURANCE CO	Yes	
AR	27235	AUTO CLUB FAMILY INS CO	Yes	
AR	27855	ZURICH AMERICAN INS CO OF IL	Yes	
AR	27998	THE TRAVELERS HOME & MARINE INS. CO	Yes	
AR	28223	NATIONWIDE AGRIBUSINESS INS CO	Yes	
AR	28399	GATEWAY INS CO	Yes	
AR	28401	AMERICAN NATL PROPERTY & CASUALTY	Yes	
AR	28535	TRIANGLE INSURANCE CO	Yes	
AR	28665	CINCINNATI CAS CO	Yes	
AR	28746	EQUITY INSURANCE CO	Yes	
AR	28860	CLEAR BLUE INSURANCE COMPANY	Yes	
AR	28886	TRANSGUARD INS CO OF AMERICA INC	Yes	
AR	28932	MARKEL AMERICAN INS CO	Yes	
AR	29068	IDS PROP. CAS INS CO	Yes	
AR	29424	HARTFORD CASUALTY INS CO	Yes	
AR	29459	TWIN CITY FIRE INS CO	Yes	
AR	29580	BERKLEY NATIONAL INS CO	Yes	
AR	30104	HARTFORD UNDERWRITERS INS CO	Yes	
AR	30210	ESURANCE PROP AND CAS	Yes	
AR	30945	PLAZA INS CO	Yes	
AR	31003	BERKLEY ARGIBUSINESS RISK	Yes	
AR	31194	TRAVELERS CASUALTY SURETY CO OF AMERICA	Yes	
AR	31325	BERKLEY MID ATLANTIC GROUP	Yes	
AR	31348	CRUM AND FORESTER INDEMNITY CO	Yes	
AR	31534	CITIZENS INSURANCE CO	Yes	
AR	31925	FALLS LAKE NATIONAL INSURANCE CO	Yes	
AR	31968	MERASTAR INS CO	Yes	
AR	32301	TNUS INSURANCE COMPANY	Yes	
AR	32387	STAR CASUALTY CO	No	
AR	32506	MONROE GUARANTY INS COMP	Yes	
AR	32620	NATL INTERSTATE INS CO	Yes	
AR	32700	OWNERS INS. CO	Yes	
AR	32786	PROGRESSIVE SPECIALTY INS CO	Yes	
AR	33022	AXA INS CO	Yes	
AR	33588	FIRST LIBERTY INSURANCE CORP	Yes	
AR	33600	LIBERTY MUTUAL INSURANCE CORP	Yes	
AR	33650	MENDOTA INS CO	Yes	
AR	34037	HALLMARK INSURANCE CO	Yes	
AR	34339	METROPOLITAN GRP PRP & CAS INS CO	Yes	
AR	34347	COLONIAL AMERICAN CASUALTY & SURETY	Yes	
AR	34690	PROPERTY & CASUALTY INS CO	Yes	
AR	35289	CONTINENTAL INS	Yes	
AR	35408	IMPERIUM INS. CO	Yes	
AR	35629	ASSOCIATION CASUALTY INSURANCE COMPANY	Yes	
AR	35696	HARLEYSVILLE PREFERRED INS	Yes	

Attachment_1 Current List of Insurance Companies

State	NAIC #	Active Insurance Company Name	Daing Business	Comments
AR	35882	GEICO GENERAL INSURANCE COMP	Yes	
AR	36064	HANOVER AMERICAN INSURANCE CO	Yes	
AR	36137	TRAVELERS COMMERCIAL INS. CO.	Yes	
AR	36161	TRAVELERS PROPERTY CASUALTY INSURANCE CO	Yes	
AR	36307	THE GRAY INS CO	Yes	
AR	36447	LIBERTY MUT INS. CORP.	Yes	
AR	36455	NORTHBROOK INDEMNITY CO	Yes	
AR	36897	MANUFACTURES ALLIANCE INS. CO	Yes	
AR	37214	AMERICAN STATES PREFERRED INS CO	Yes	
AR	37220	DIRECT INS CO	No	
AR	37257	PRAETORIAN INSURANCE COMPANY	Yes	
AR	37273	AXIS INSURANCE COMPANY	Yes	
AR	37478	HARTFORD INS CO OF THE MIDWEST	Yes	
AR	37648	PERMANENT GENERAL	Yes	
AR	37877	NATIONWIDE	Yes	
AR	37885	XL SPECIALTY INSURANCE CO	Yes	
AR	37907	DEERBROOK INSURANCE	Yes	
AR	37915	ESSENTIA INS CO	Yes	
AR	38800	SAMSUNG FIRE & MARINE INS CO	Yes	
AR	38318	STARR INDEMNITY & LIAB. CO	Yes	
AR	38652	AMERICAN MODER HOME INSURANCE	Yes	
AR	38911	BERKLEY NATIONAL INS CO	Yes	
AR	38970	MARKEL INS CO	Yes	
AR	39012	SAFECO INS. CO OF IL	Yes	
AR	39217	QBE INSURANCE CORP	Yes	
AR	39306	FIDELITY & DEPOSIT CO OF MARYLAND	Yes	
AR	39942	AMERICAN NATL GENERAL INS CO	Yes	
AR	39993	COLONY INS CO	Yes	
AR	40045	STAR NET INS CO	Yes	
AR	40142	AMERICAN ZURICH IN CO	Yes	
AR	40169	METROPOLITAN CASUALTY INS CO	Yes	
AR	40258	AIG ASSURANCE CO	Yes	
AR	40371	COLUMBIA MUTUAL INS CO	Yes	
AR	40460	SAGAMORE INS CO	Yes	
AR	40479	REPUBLIC-VANGUARD INSURANCE COMPANY	No NAICS	Not found on NAICs Web
AR	40649	ECONOMY PREMIER ASSURANCE CO	Yes	
AR	40703	UNITRIN SAFEGUARD INS CO	Yes	
AR	41238	TRANS PACIFIC INSURANCE COMPANY	Yes	
AR	41297	SCOTTSDALE INS CO	Yes	
AR	41343	HDI- GERLING AMERICA INS CO	Yes	
AR	41424	PENNSYLVANIA INDEMNITY CO	Yes	
AR	41491	GEICO CASUALTY COMPANY	Yes	
AR	41513	FOREMOST SIGNATURE INS CO	Yes	
AR	41750	ST. PAUL MEDICAL LIABILITY INS CO	Yes	
AR	41769	ATHENA ASSURANCE CO	Yes	
AR	41840	ALLAMERICA FIN. ALLIANCE INS CO	Yes	
AR	41998	AMERICAN MODERN HOME INS	Yes	
AR	42048	DIAMOND STATE INS CO.	Yes	
AR	42307	NAVIGATORS INS CO	Yes	
AR	42376	TECHNOLOGY INS.CO/INSURTY CO	Yes	
AR	42390	AMGAURD INSURANCE COMPANY	Yes	
AR	42404	LIBERTY INSURANCE CORP	Yes	
AR	42552	NOVA CASUALTY CO	Yes	
AR	42579	ALLIED PROPERTY & CASUALTY	Yes	
AR	42587	DEPOSITORS INSURANCE CO	Yes	
AR	42722	AMERICAN MODERN PROPERTY & CASUALTY INS	Yes	
AR	42749	TRADERS INS CO	Yes	
AR	42889	VICTORIA FIRE & CASUALTY CO.	Yes	
AR	42897	AMERICAN SERVICE INS	Yes	
AR	42919	PROGRESSIVE NORTHWESTERN INS CO	Yes	
AR	42994	PROGRESSIVE CLASSIC INS CO	Yes	
AR	43494	AMERICAN HALLMARK INS CO	Yes	
AR	43575	INDEMNITY INS CO OF NO.AMERICA	Yes	
AR	44369	IMPERIAL FIRE & CAS INS CO	Yes	
AR	44393	WEST AMERICAN INSURANCE CO	Yes	
AR	44725	1ST AUTO & CASUALTY INS. CO	No	
AR	44768	VANTAPRO SPECIALTY INS CO	Yes	
AR	45287	DEPOSITORS INSURANCE COMPANY	No NAICS	Not found on NAICs Web
AR	62001	AIRS TEST INS COMPANY	No NAICS	Not found on NAICs Web
AR	80000	MINERAL SPRGS AMISH MEN CHURCH	No NAICS	Not found on NAICs Web
AR	80001	MT ZION AMISH MENN CHURCH	No NAICS	Not found on NAICs Web
AR	80003	BETHEL AM CHURCH	No NAICS	Not found on NAICs Web
AR	80004	SHADY LAWN MENNONITE CHURCH	No NAICS	Not found on NAICs Web
AR	80006	BELLEVILLE AMISH MENNONITE CHURCH	No NAICS	Not found on NAICs Web
AR	80007	HARMONY AMISH MENN. CHURCH	No NAICS	Not found on NAICs Web
AR	80008	CORNERSTONE MENNONITE CHURCH	No NAICS	Not found on NAICs Web
AR	80009	LITTLE FLOCK CHRISTIAN FELLOWSHIP	No NAICS	Not found on NAICs Web

Attachment_1 Current List of Insurance Companies

State	NAIC #	Active Insurance Company Name	Doing Business	Comments
AR	80010	LIGHTHOUSE OF FAITH MENN. MOTORIST	No NAICS	Not found on NAICS Web
AR	80011	MT SALEM AMISH MENN. CHURCH	No NAICS	Not found on NAICS Web
AR	80012	MT HOPE AMISH MENNONITE CHURCH	No NAICS	Not found on NAICS Web
AR	80013	GRACE POINT MENNONITE CHURCH	No NAICS	Not found on NAICS Web
AR	80014	MT. NEBO AMISH MENNONITE CHURCH	No NAICS	Not found on NAICS Web
AR	90009	ENTERGY	No NAICS	Not found on NAICS Web
AR	90010	ARK. PUBL ENTITIES RISK MGN ASSOC	No NAICS	Not found on NAICS Web
AR	90011	ARKANSAS SCHOOL BOARD ASSOC.	No NAICS	Not found on NAICS Web
AR	90012	HOT SPRINGS TAXI INC	No NAICS	Not found on NAICS Web
AR	90022	OKLAHOMA GAS & ELECTRIC CO	No NAICS	Not found on NAICS Web
AR	90028	RAZORBACK CAB OF FT SMITH	No NAICS	Not found on NAICS Web
AR	90026	HARPS FOOD STORES INC.	No NAICS	Not found on NAICS Web
AR	90029	P V HOLDING SYSTEM INC.	No NAICS	Not found on NAICS Web
AR	90031	DIOCESE OF LITTLE ROCK	No NAICS	Not found on NAICS Web
AR	90033	CENTRAL ARKANSAS RISK MANAGEMENT	No NAICS	Not found on NAICS Web
AR	90034	GREATER LITTLE ROCK TRANSPORTATION	No NAICS	Not found on NAICS Web
AR	90035	WALMART INC	No NAICS	Not found on NAICS Web
AR	90041	EAN HOLDINGS LLC	No NAICS	Not found on NAICS Web
AR	90042	LITTLE ROCK SCH DISTRICT	No NAICS	Not found on NAICS Web
AR	90043	PECO FOODS, INC.	No NAICS	Not found on NAICS Web
AR	90044	ARKANSAS MUNICIPAL LEAGUE	No NAICS	Not found on NAICS Web

Arkansas Online Insurance Verification System

Validati Staffing Plan

January, 2019

VALIDATI[®]

Revision History

REVISION #	DATE OF RELEASE	SUMMARY OF CHANGES
Version 1	January, 2019	RFP Submission

Approvals

NAME	ROLE	DATE

Table of Contents

1. INTRODUCTION.....	4
1.1 PURPOSE	4
1.2 SCOPE	4
2. STAFFING PLAN	4
2.1 REQUIREMENTS	4
2.2 RETENTION PLANS	7
2.3 BACK-UP PLANS	8
3. DELIVERABLE SCHEDULE	10
3.1 KEY DELIVERABLE DATES.....	10

1. INTRODUCTION

1.1 Purpose

The Staffing Plan documents the appropriate resources assigned to the project and other requirements for staffing with qualified personnel on an ongoing basis. The Plan discusses retention of this staff as well as back-up plans in the event of a departure of key staff.

1.2 Scope

The Plan will cover:

- a) Staffing with qualified personnel including the requirements as detailed in Section 2.14 of the RFP.
- b) Back-up Plans
- c) Retention of Staff members

2. STAFFING PLAN

2.1 Requirements

Validati will manage and coordinate the Arkansas Online Insurance Verification System to ensure service levels and quality outcomes that meet the contractual requirements of the program and follow best practices.

We will staff the project as detailed below. The entire team will meet weekly throughout the Implementation to ensure proper communication of issues, performance, and to act as a training method.

Validati Primary Staff

NAME	POSITION IN ORGANIZATION	PROPOSED ROLE ON ENGAGEMENT	FOCUS OF WORK EFFORT
Peter A. Spitalieri	President	Project Oversight	Deliverables Managed
Scott A. Keller	V.P. Administrative Services	Compliance and Account Management	Contract Compliance; Account Management
Sherry L. Rasmusen	Manager, Operations	Manages Call Center Activities	Management of Call Center Activities
Dennis E. Duffield	V.P. Information Services	Project Management	Project Implementation
Frank D. Peden	Senior Software Engineer	Technical Lead	Oversight of Technical Development
Vincent L. Spitalieri	Director Business Services	Information Security Officer	Data Security Compliance and analysis
Megha Gowen	Software Engineer	Developer	Technical Development of Online Verification Systems
Aaron J. Salguero	Manager, Technical Support	Technical Support	Insurance coordinator, design and testing, technical help desk
Christian G. Bovenzi	Systems Analyst	Systems Analyst	Design, testing and report construction, and monthly reporting
Charles A. Spitalieri	Manager, Support Services	Printing and Fulfillment	Manages all activities supporting printing and fulfillment

Validati will ensure that the staff is dedicated to the assignments that need to be completed to provide the highest quality results for DFA. Once this plan is documented Validati will inform DFA of any changes. A thorough review of staffing will be completed quarterly to ensure the correct resources are being dedicated to Arkansas Online Insurance Verification System. At commencement of contract award and prior to the hiring of staff, Validati will conduct Federal and State Criminal Background Checks. On request, we will share the results with DFA within 72 hours of the request.

Validati plans to use experienced management and qualified professionals to bring to DFA the skills necessary to meet the program requirements. Validati participates in industry conferences and conducts professional training on topics related to insurance verification and data management, including security, to ensure that our staff stays current with best practices.

The Staffing Plan will be finalized with the mutual agreement of the State within fifteen (15) days of Contract Award.

The president of Validati, Mr. Peter A. Spitalieri, will participate in all phases of the project to ensure that major project milestones are met and Validati meets all Performance Standards.

Validati will staff with a Project Manager, Dennis Duffield, who has over three (3) years of project management. Mr. Duffield will:

1. Serve as the primary point of contact for the Contractor during the Implementation phase of the project.
2. Provide the complete project timeline schedule with all the related tasks during the schedule management phase.
3. Coordinate between various stakeholders.
4. Manage the total project (i.e. delivery, customization and implementation, coordination for site preparation, and networking).
5. Participate in all meetings, including a mandatory kick off meeting and weekly status meetings. Meetings may be held onsite at a location to be specified by DFA or via conference call at the State's discretion.
6. Develop Project Scope Documents
7. Monitor Risk Management aspects and project delays.
8. Ensure synchronization of all the activities of the project (i.e. development, implementation, training etc.).
9. Provide weekly updates to the State's Project Manager from the start of the contract through the implementation phase

Validati will Staff with an Account Manager, Scott A. Keller, who has served in this role for our state online verification clients. Mr. Keller will serve as the primary point of contact between the State and Validati after Implementation is complete and the solution is fully operational. He will also participate in the implementation to ensure a smooth transition between implementation and deployment.

We will also ensure that we have an Information Security Officer (ISO) Vincent L. Spitalieri, who will serve as the State's primary security contact and be available to assist the State twenty-four (24) hours per day, seven (7) days per week as a contact in resolving obligations associated with a Security Breach. Mr. Spitalieri will oversee all data eligible for reporting to ensure that DFA and other State agencies have all of the data for both standard and ad-hoc reports.

Our technology personnel, led by Mr. Frank D. Peden, have sufficient technical expertise and experience to accomplish the Implementation Plan and support the ongoing process. Each of them has worked on our current online verification systems. Mr. Peden has significant understanding of all of these systems and is managing all

technology related to our current state online verification systems. The Technical Team will

1. Determine operational feasibility through analysis, problem definition, and evaluating requirements, solution development, and proposed systems;
2. Prepare solutions by determining and designing system specifications, standards, and programming;
3. Implement the proposed system by studying information needs, conferring with users, investigating problem areas, following the software development lifecycle, and studying systems flow, data usage, and work processes.

We will also ensure that we have an Operational Team with Mrs. Sherry L. Rasmusen overseeing the Call Center activities for drivers and Mr. Aaron J. Salguero managing the Help Desk support and coordination with the insurance companies. A Printing and Fulfillment, Manager, Charles, J. Spitalieri will oversee the production of letters and compliance with the DFA language during implementation and will ensure the timely delivery of these letters during the life of the contract.

Validati will maintain an active back-up plan for each of the team members. Members will be assigned back-up responsibilities for other team members to cover for absences and to serve as a method of training of particular responsibilities. Team members will be required to complete regular training to ensure their overall knowledge of the program as well as the skills to perform in their respective roles.

Validati will notify DFA of any change in key staff within fifteen (15) days. For all new staff we will submit a résumé that includes, at a minimum: title; education; training; relevant experience; length of service with Validati; and professional accreditations, certifications, designations, and licenses. Each employee, including replacement employees hired in the future, will possess the qualifications, education, training, experience, and certifications required to perform the services in the manner required.

2.2 Retention Plans

During Implementation Validati will design and develop a bonus for all team members based on milestones and overall project success. Validati will hold luncheons to announce progress and any major achievements at key milestone dates. Regularly schedule team meetings will instill a sense of share mission for team members.

Validati will ensure our programs to promote retention are consistently administered and evaluated for improvement. The programs include:

- Recognition and Awards Programs
- Professional Development Programs, including seminars and cross-training
- Employee Luncheon and Theme Days

- Monthly Focus Group meetings discussion corporate objectives and performance
- Quarterly Meetings discussing projects and review of Business Plan
- Flexible work schedules
- New facility with modern equipment and smoke free work environment
- Continual training and development (personal and profession) programs

2.3 Back-Up Plans

Validati will ensure that the team meets weekly during implementation and at least monthly post implementation. During Implementation all milestones will be discussed along with obstacles and opportunities for improvement. Post-implementation team members will meet to review monthly reports and results against Performance standards. In both cases, team members will spend time discussing their respective roles and current issues. In this way we hope to ensure that multiple team members can step into fill responsibilities in the case of a departure.

We will maintain specific back up and communicate to the respective team members the plan so that training can be instituted to ensure that key responsibilities are performed during periods of absence and in the case of a departure. Our initial plan is below. We will modify this plan as necessary by calling on other members of our organization or bring new staff on board.

NAME	POSITION IN ORGANIZATION	VALIDATI BACK-UP STAFF
Peter A. Spitalieri	Project Oversight	Mr. Keller will fill this role. He has significant direct experience and has worked closely with Mr. Spitalieri over his entire tenure.
Scott A. Keller	Account Manager	Mr. Vincent L. Spitalieri will fill this role. Mr. Spitalieri has direct experience with many government accounts and is well versed on insurance verification
Sherry L. Rasmusen	Operations	Mr. Salguero will fill this role. He manages the current New Mexico call center staff in addition to his role as a technical coordinator
Dennis E. Duffield	Project Manager	Mr. Peden will fill this role. Mr. Peden has worked closely with Mr. Duffield and has filled the Project Manager role with several clients.
Frank D. Peden	Technical Lead	Ms. Gowni will fill this role. She has worked closely with Mr. Peden and has been the lead architect on several projects.
Vincent L. Spitalieri	Security Manager	Mr. Bovenzi will fill this role. Mr. Bovenzi builds most of the reports used in our insurance verification programs and works closely with Mr. Spitalieri with the database.

Megha Gowen	Software Engineer	We will assign a new developer with experience
Aaron J. Salguero	Technical Support	Mrs. Rasmusen will fill this role. She has a very good understanding of the business and has completed internal reviews of our technology, which will assist with the handling of these calls.
Christian G. Bovenzi	Systems Analyst	Mr. Vincent Spitalieri will fill any of the reporting requirements and testing help can be filled in by another member of our QA staff
Charles A. Spitalieri	Fulfillment	Mr. Spitalieri has an assistant in his department who is fully versed on all of the client forms internal operations. He would be moved into this role.

3. DELIVERABLE SCHEDULE

3.1 Key Deliverable Dates

Table 1 Key Deliverable Dates

KEY ACTIVITY	DUE DATE	COMMENT
Submission of the Staffing Plan	January 2019	

Task	Duration	Start Date	End Date	Pred.	Resources
Arkansas Online Insurance Verification System	154 d	Wed 5/1/19	Mon 12/2/19		
1 Build Arkansas Online Insurance Verification System	153 d	Wed 5/1/19	Fri 11/29/19		
2 Contract Start	1 d	Wed 5/1/19	Wed 5/1/19		Validati Project Manager[2%],Validati Project Lead[2%],Validati Account Manager[2%],State Resource[2%]
3 Conduct kick-off meeting	3 d	Mon 5/6/19	Wed 5/8/19		Validati Project Manager[2%],Validati Project Lead[2%],Validati Account Manager[2%],State Resource[2%]
4 Develop Project Status Reporting	3 d	Wed 5/8/19	Fri 5/10/19		Validati Project Manager[2%],Validati Account Manager[2%],Validati Project Lead[2%],State Resource[2%]
Document all performance standards (2.22); confirm standard references in all 5 documents	3 d	Wed 5/8/19	Fri 5/10/19		Validati Project Manager[2%],Validati Account Manager[2%],Validati Project Lead[2%],State Resource[2%]
6 Agree to testing methodology; Agree on Issue Severity Levels	2 d	Wed 5/8/19	Thu 5/9/19		Validati Project Manager[2%],Validati Project Lead[2%],Validati Account Manager[2%],State Resource[2%]
7 Commence Weekly Reporting	3 d	Wed 5/8/19	Fri 5/10/19		Validati Project Manager[2%],Validati Project Lead[2%],State Resource[2%]
8 Staffing and Key Personnel (2.14)	32 d	Thu 5/2/19	Fri 6/14/19		
9 Complete Project Manager and Account Manager confirmation	2 d	Thu 5/2/19	Fri 5/3/19		2 Validati Project Manager[2%],Validati Project Lead[2%],Validati Account Manager[2%],State Resource[2%]
10 Complete technical team confirmation	3 d	Mon 5/6/19	Wed 5/8/19		2 Validati Project Manager[2%],Validati Project Lead[2%],Validati Account Manager[2%],State Resource[2%]
11 Identify key role backup assignments	3 d	Mon 5/6/19	Wed 5/8/19		2 Validati Project Manager[2%],Validati Project Lead[2%],Validati Account Manager[2%],State Resource[2%]
12 Complete all background checks	32 d	Thu 5/2/19	Fri 6/14/19		Validati Project Manager[2%],Validati Project Lead[2%],Validati Account Manager[2%],State Resource[2%]
Online Insurance Verification System - Data Center (2.6 and 2.7), Network Connectivity and Bandwidth Requirements (2.8)	120 d	Mon 5/20/19	Fri 11/1/19		
14 Pre-design/ Requirements Definition (Hardware and Software Asset Inventory)	20 d	Mon 5/13/19	Fri 6/7/19		Validati Project Manager[5%],Validati Technical Lead[2%],State Resource[1%],Validati Developer[3%],Validati Infrastructure[5%],Validati Info Sec Manager[5%],Validati Systems Analyst[5%]
15 Finalize Customer and Technical Support Requirements - setup backup schedules and agents	5 d	Mon 6/10/19	Fri 6/14/19		Validati Project Manager[5%],Validati Info Sec Manager[5%],Validati Technical Lead[2%],State Resource[1%],Validati Developer[4%],Validati Infrastructure[5%]
16 Analysis and Design – Complete architectural diagrams and systems management documentation;	15 d	Mon 6/17/19	Fri 7/5/19		Validati Project Manager[5%],Validati Developer[3%],Validati Technical Lead[2%],State Resource[1%],Validati Infrastructure[9%]
17 Obtain DFA and DFA OIS approval on hardware and configuration Development – Complete Operational/Backup/Data Security Procedures;	5 d	Fri 7/5/19	Fri 7/12/19		Validati Project Manager[5%],Validati Systems Analyst[5%],Validati Technical Lead[2%],Validati Infrastructure[5%],State Resource[1%],Validati Info Sec Manager[5%]
18 order DEV, TEST and PROD equipment	15 d	Mon 7/15/19	Fri 8/2/19		Validati Project Manager[5%],Validati Systems Analyst[5%],Validati Info Sec Manager[2%]
19 Server Programming – Install DEV, TEST and PROD equipment; Logging and patch procedures – confirm audit trail access	15 d	Mon 8/12/19	Fri 8/30/19		Validati Project Manager[5%],Validati Systems Analyst[5%],Validati Technical Lead[2%],Validati Infrastructure[5%],State Resource[1%],Validati Developer[3%],Validati Info Sec Manager[5%]
20 Testing – Internal – confirm audit trails logging and security; obtain DFA approval	20 d	Mon 9/2/19	Fri 9/27/19		Validati Project Manager[5%],Validati Systems Analyst[5%],Validati Technical Lead[2%],Validati Infrastructure[5%],State Resource[1%],Validati Developer[3%],Validati Info Sec Manager[5%]
21 Testing and Acceptance (2.16) – UAT - confirm audit trails, reporting and test task completion; obtain Agency approvals	25 d	Mon 9/30/19	Fri 11/1/19		Validati Project Manager[5%],Validati Systems Analyst[5%],Validati Technical Lead[2%],Validati Infrastructure[5%],State Resource[1%],Validati Developer[3%],Validati Info Sec Manager[5%]
22 Insurance Verification System Requirements (2.5)	117 d	Mon 6/3/19	Tue 11/12/19		
Pre-Design/Requirements Definition - Complete requirements and 23 specifications	10 d	Mon 5/27/19	Fri 6/7/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[4%],Validati Developer[2%],State Resource[1%],Validati Systems Analyst[4%]
24 Analysis and Design - Conduct JAD session and develop design documentation	15 d	Mon 6/17/19	Fri 7/5/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[4%],Validati Developer[2%],Validati Systems Analyst[4%],State Resource[1%]
25 Development - Complete coding, code review and technical documentation	60 d	Mon 7/8/19	Fri 9/27/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[20%],Validati Developer[25%],Validati Systems Analyst[4%],State Resource[1%]
Testing - Internal - Complete Validati Internal Testing Levels; Ensure test plan 26 completion for subsequent testing efforts; obtain DFA approval	15 d	Fri 9/27/19	Fri 10/18/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[4%],Validati Developer[2%],Validati Systems Analyst[4%],State Resource[1%]
Testing and Acceptance (2.16) - UAT - Ensure test plan completion and all 27 operating procedures are written and final Agency Approvals obtained	10 d	Fri 10/18/19	Fri 11/1/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[4%],Validati Developer[2%],State Resource[1%],Validati Infrastructure[5%],Validati Systems Analyst[4%]
28 Deployment to Test Environment	5 d	Fri 11/1/19	Fri 11/8/19		Validati Project Manager[4%],Validati Technical Lead[4%],State Resource[2%],Validati Tech Support Manager[2%],Validati Systems Analyst[4%],Validati Developer[2%]
29 Post-implementation/Finalize Documentation	2 d	Mon 11/11/19	Tue 11/12/19		Validati Tech Support Manager[10%],Validati Technical Lead[8%]
30 Non-Compliance Notice Requirements (2.9)	42 d	Mon 7/8/19	Tue 9/3/19		
Pre-Design/Requirements Definition - Complete requirements and 31 specifications.	5 d	Mon 7/8/19	Fri 7/12/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[4%],Validati Developer[2%],State Resource[1%],Validati Systems Analyst[4%]
32 Analysis and Design - Conduct JAD session and develop design documentation	10 d	Mon 7/15/19	Fri 7/26/19		Validati Project Manager[5%],Validati Tech Support Manager[2%],Validati Technical Lead[5%],Validati Developer[2%],Validati Infrastructure[5%],State Resource[1%]
33 Development - Complete coding, code review and technical documentation	15 d	Mon 7/29/19	Fri 8/16/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[25%],Validati Developer[20%],State Resource[1%],Validati Infrastructure[5%]
Testing - Internal - Complete Validati Internal Testing Levels; Ensure test plan 34 completion for subsequent testing efforts; obtain DFA approval	5 d	Mon 8/19/19	Fri 8/23/19		Validati Project Manager[3%],Validati Tech Support Manager[2%],Validati Technical Lead[3%],Validati Developer[2%],State Resource[1%],Validati Infrastructure[4%],Validati Fulfillment Manager[1%]
Testing and Acceptance (2.16) - UAT - Ensure test plan completion and all 35 operating procedures are written and final Agency Approvals	5 d	Mon 8/26/19	Fri 8/30/19		Validati Project Manager[3%],Validati Tech Support Manager[1%],Validati Technical Lead[3%],Validati Developer[1%],State Resource[1%],Validati Systems Analyst[3%],Validati Fulfillment Manager[3%],Validati Operations[3%]
36 Deployment to Test Environment	1 d	Mon 9/2/19	Mon 9/2/19		Validati Project Manager[4%],Validati Technical Lead[4%],State Resource[2%],Validati Tech Support Manager[2%],Validati Infrastructure[5%],Validati Developer[2%]
37 Post-implementation/Finalize Documentation	1 d	Tue 9/3/19	Tue 9/3/19		Validati Tech Support Manager[10%],Validati Technical Lead[5%]
38 Reporting (2.12) and Data Requirements (2.13)	17 d	Mon 7/29/19	Tue 8/20/19		
Pre-Design/Requirements Definition - Complete requirements and 39 specifications	2 d	Mon 7/29/19	Tue 7/30/19		Validati Project Manager[5%],Validati Tech Support Manager[2%],Validati Technical Lead[5%],Validati Developer[2%],State Resource[2%],Validati Infrastructure[5%]
40 Analysis and Design - Conduct JAD session and develop design documentation	3 d	Tue 7/30/19	Fri 8/2/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[4%],Validati Developer[2%],State Resource[2%],Validati Infrastructure[5%]
41 Development - Complete coding, code review and technical documentation	5 d	Mon 8/5/19	Fri 8/9/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[30%],Validati Developer[20%],State Resource[2%],Validati Infrastructure[5%]
Testing - Internal - Complete Validati Internal Testing Levels; Ensure test plan 42 completion for subsequent testing efforts; obtain DFA approval	3 d	Mon 8/12/19	Wed 8/14/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[4%],Validati Developer[2%],State Resource[2%],Validati Infrastructure[5%]
Testing and Acceptance (2.16) - UAT - Ensure test plan completion and all 43 operating procedures are written and final Agency Approvals	2 d	Thu 8/15/19	Fri 8/16/19		Validati Project Manager[4%],Validati Tech Support Manager[2%],Validati Technical Lead[4%],Validati Developer[2%],State Resource[2%],Validati Infrastructure[5%]
44 Deployment to Test Environment	1 d	Mon 8/19/19	Mon 8/19/19		Validati Project Manager[4%],Validati Technical Lead[4%],Validati Tech Support Manager[2%],State Resource[2%],Validati Infrastructure[5%],Validati Developer[2%]
45 Post-implementation/Finalize Documentation	1 d	Tue 8/20/19	Tue 8/20/19		Validati Tech Support Manager[10%],Validati Technical Lead[5%]
46 Payment Solution (2.5)	20 d	Mon 8/5/19	Fri 8/30/19		
Pre-Design/Requirements Definition - Complete requirements and 47 specifications	2 d	Mon 8/5/19	Tue 8/6/19		Validati Project Manager[4%],Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Developer[2%],State Resource[1%],Validati Operations[1%]
48 Analysis and Design - Conduct JAD session and develop design documentation	3 d	Wed 8/7/19	Fri 8/9/19		Validati Project Manager[4%],Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Developer[2%],State Resource[1%],Validati Operations[1%]
49 Development - Complete coding, code review and technical documentation	5 d	Mon 8/12/19	Fri 8/16/19		Validati Project Manager[4%],Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Developer[2%],State Resource[1%],Validati Operations[1%]
Testing - Internal - Complete Validati Internal Testing Levels; Ensure test plan 50 completion for subsequent testing efforts; obtain DFA approval	5 d	Mon 8/19/19	Fri 8/23/19		Validati Project Manager[4%],Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Developer[2%],State Resource[1%],Validati Operations[1%]
Testing and Acceptance (2.16) - UAT - Ensure test plan completion and all 51 operating procedures are written and final Agency Approvals	3 d	Mon 8/26/19	Wed 8/28/19		Validati Project Manager[4%],Validati Technical Lead[2%],Validati Tech Support Manager[3%],State Resource[1%],Validati Developer[2%],Validati Operations[1%]
52 Deployment to Test Environment	1 d	Thu 8/29/19	Thu 8/29/19		Validati Resource[1%],Validati Developer[2%],Validati Operations[1%]
53 Post-implementation//Finalize Documentation	1 d	Fri 8/30/19	Fri 8/30/19		Validati Tech Support Manager[10%],Validati Technical Lead[5%]
54 Ongoing maintenance (2.10)	25 d	Mon 9/16/19	Fri 10/18/19		
55 Confirm ongoing maintenance and Upgrade procedures and schedules	5 d	Mon 9/16/19	Fri 9/20/19		Validati Project Manager[5%],Validati Technical Lead[2%],State Resource[1%],Validati Infrastructure[9%]
56 Confirm and agree on Service Pack deliverable schedules	5 d	Mon 9/23/19	Fri 9/27/19		55 Validati Project Manager[5%],Validati Technical Lead[2%],State Resource[1%],Validati Infrastructure[9%]
57 Confirm and agree on new and revised documentation delivery schedules;	5 d	Mon 9/30/19	Fri 10/4/19		56 Validati Project Manager[5%],Validati Technical Lead[2%],State Resource[1%],Validati Infrastructure[9%]
58 Confirm and agree on Upgrade procedures and schedules	5 d	Mon 10/7/19	Fri 10/11/19		57 Validati Project Manager[5%],Validati Technical Lead[2%],State Resource[1%],Validati Infrastructure[9%]
59 Confirm and agree on software upgrade procedures and schedules	5 d	Mon 10/14/19	Fri 10/18/19		58 Validati Project Manager[5%],Validati Technical Lead[2%],State Resource[1%],Validati Infrastructure[9%]
60 Data Security (2.20)	25 d	Mon 9/9/19	Fri 10/11/19		
61 Establish scanning and vulnerability assessment vendor and schedules	5 d	Mon 9/9/19	Fri 9/13/19		Validati Project Lead[6%],Validati Project Manager[6%],State Resource[6%],Validati Account Manager[6%],Validati Info Sec Manager[6%]
62 Establish logging procedures, methods and review process for all intrusion attempts	5 d	Mon 9/16/19	Fri 9/20/19		Validati Project Lead[6%],Validati Project Manager[6%],State Resource[6%],Validati Account Manager[6%],Validati Info Sec Manager[6%]
63 Develop user granting/revoking procedures and audit trails	5 d	Mon 9/23/19	Fri 9/27/19		Validati Project Lead[6%],Validati Project Manager[6%],State Resource[6%],Validati Account Manager[6%],Validati Info Sec Manager[6%]
64 Confirm security plan readiness	5 d	Mon 9/30/19	Fri 10/4/19		Validati Project Lead[6%],Validati Project Manager[6%],State Resource[6%],Validati Account Manager[6%],Validati Info Sec Manager[6%]

65	Review PII compliance procedures	5 d	Mon 9/30/19	Fri 10/4/19	Validati Project Lead[6%],Validati Project Manager[6%],State Resource[6%],Validati Account Manager[6%],Validati Info Sec Manager[6%]
66	Confirm/implement all system/application password procedures	1 d	Mon 10/7/19	Mon 10/7/19	Validati Project Lead[6%],Validati Project Manager[6%],State Resource[6%],Validati Account Manager[6%],Validati Info Sec Manager[6%]
67	Review Security Incident reporting methods and procedures	5 d	Mon 10/7/19	Fri 10/11/19	Validati Project Lead[6%],Validati Project Manager[6%],State Resource[6%],Validati Account Manager[6%],Validati Info Sec Manager[6%]
68	Disaster Recovery and Business Continuity Plan (2.18)	85 d	Mon 7/8/19	Fri 11/1/19	
69	Pre-design/ Requirements Definition (Hardware and Software) Analysis and Design – Complete architectural diagrams and systems management documentation	10 d	Mon 7/8/19	Fri 7/19/19	Validati Project Manager[4%],Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Infrastructure[4%],State Resource[1%],Validati Developer[2%],Validati Systems Analyst[2%]
70	Development (Operational/Backup/Data Security Procedures)	15 d	Mon 7/22/19	Fri 8/9/19	Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Project Manager[4%],State Resource[1%],Validati Developer[2%],Validati Infrastructure[4%],Validati Systems Analyst[2%]
71	Server Programming – Logging and patch procedures	25 d	Mon 8/12/19	Fri 9/13/19	Validati Project Manager[4%],Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Infrastructure[4%],State Resource[1%],Validati Developer[2%],Validati Systems Analyst[2%]
72	Testing – Internal – confirm audit trails, reporting and test task completion	5 d	Mon 9/16/19	Fri 9/20/19	Validati Project Manager[4%],Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Infrastructure[4%],State Resource[1%],Validati Developer[2%],Validati Systems Analyst[2%]
73	Testing – UAT - confirm audit trails, reporting and test task completion	10 d	Mon 9/23/19	Fri 10/4/19	Validati Project Manager[4%],Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Infrastructure[4%],State Resource[1%],Validati Developer[2%],Validati Systems Analyst[2%]
74	Testing – UAT - confirm audit trails, reporting and test task completion	15 d	Mon 10/7/19	Fri 10/25/19	Validati Project Manager[4%],Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Infrastructure[4%],State Resource[1%],Validati Developer[2%],Validati Systems Analyst[2%]
75	Deployment (test BCP/DRP to failover solution from new test environment)	4 d	Tue 10/29/19	Fri 11/1/19	Validati Project Manager[4%],Validati Tech Support Manager[3%],Validati Technical Lead[2%],Validati Infrastructure[4%],State Resource[1%],Validati Developer[2%],Validati Systems Analyst[2%]
76	Post-implementation	1 d	Fri 11/1/19	Fri 11/1/19	Validati Tech Support Manager[10%],Validati Technical Lead[5%]
77	Ongoing User and Technical Support (2.11)	25 d	Mon 9/30/19	Fri 11/1/19	
78	Complete Call Center and Technical Support desk work schedules	2 d	Mon 9/30/19	Tue 10/1/19	Validati Project Lead[4%],Validati Project Manager[2%],State Resource[4%],Validati Account Manager[4%],Validati Operations[4%],Validati Tech Support Manager[4%]
79	Complete Level and definition of support issues (technical support); complete escalation procedures (technical support desk and customer service)	3 d	Wed 10/2/19	Fri 10/4/19	Validati Project Lead[4%],Validati Project Manager[2%],State Resource[4%],Validati Account Manager[4%],Validati Operations[4%],Validati Tech Support Manager[4%]
80	Complete procedures	5 d	Mon 10/7/19	Fri 10/11/19	Validati Project Lead[4%],Validati Project Manager[2%],State Resource[4%],Validati Account Manager[4%],Validati Operations[4%],Validati Tech Support Manager[4%]
81	Order and install any new call center equipment	10 d	Mon 10/14/19	Fri 10/25/19	Validati Project Lead[4%],Validati Project Manager[2%],State Resource[4%],Validati Account Manager[4%],Validati Operations[4%],Validati Tech Support Manager[4%]
82	Conduct training	5 d	Mon 10/28/19	Fri 11/1/19	Validati Project Lead[4%],Validati Project Manager[2%],State Resource[4%],Validati Account Manager[4%],Validati Operations[4%],Validati Tech Support Manager[4%]
83	Training (2.17)	15 d	Mon 11/11/19	Fri 11/29/19	
84	Complete user manual and FAQs	5 d	Mon 11/11/19	Fri 11/15/19	Validati Project Lead[2%],Validati Project Manager[4%],State Resource[4%],Validati Account Manager[2%],Validati Operations[4%],Validati Tech Support Manager[4%]
85	Distribute Phone number and URLs to DFA	1 d	Mon 11/18/19	Mon 11/18/19	Validati Project Lead[2%],Validati Project Manager[4%],State Resource[4%],Validati Account Manager[2%],Validati Operations[4%],Validati Tech Support Manager[4%]
86	Start State Training	9 d	Tue 11/19/19	Fri 11/29/19	Validati Project Lead[2%],Validati Project Manager[4%],State Resource[4%],Validati Account Manager[2%],Validati Operations[4%],Validati Tech Support Manager[4%]
87	Produce recorded web sessions/recording of training	3 d	Wed 11/20/19	Fri 11/22/19	Validati Project Lead[2%],Validati Project Manager[4%],State Resource[4%],Validati Account Manager[2%],Validati Operations[4%],Validati Tech Support Manager[4%]
88	Complete all State Agency training	1 d	Fri 11/29/19	Fri 11/29/19	Validati Project Lead[2%],Validati Project Manager[4%],State Resource[4%],Validati Account Manager[2%],Validati Operations[4%],Validati Tech Support Manager[4%]
89	Documentation Deliverables	132 d	Thu 5/2/19	Fri 11/1/19	2
90	Finalize Staffing Plan	11 d	Wed 5/1/19	Wed 5/15/19	Validati Project Manager[10%],State Resource[5%],Validati Project Lead[5%],Validati Account Manager[10%]
91	Finalize Training Plan	21 d	Thu 5/2/19	Thu 5/30/19	2 Validati Project Manager[10%],State Resource[5%],Validati Project Lead[5%],Validati Account Manager[10%]
92	Finalize Data Security Plan	21 d	Wed 5/1/19	Thu 5/30/19	2 Validati Project Manager[10%],State Resource[5%],Validati Project Lead[5%],Validati Account Manager[10%]
93	Finalize User and Technical Support Plan	21 d	Wed 5/1/19	Thu 5/30/19	2 Validati Project Manager[10%],State Resource[5%],Validati Project Lead[5%],Validati Account Manager[10%]
94	Finalize Testing Plan	21 d	Wed 5/1/19	Thu 5/30/19	2 Validati Project Manager[10%],State Resource[5%],Validati Project Lead[5%],Validati Account Manager[10%]
95	Finalize Maintenance Plan	21 d	Wed 5/1/19	Thu 5/30/19	2 Validati Project Manager[10%],State Resource[5%],Validati Project Lead[5%],Validati Account Manager[10%]
96	Finalize Implementation Plan	21 d	Wed 5/1/19	Thu 5/30/19	2 Validati Project Manager[10%],State Resource[5%],Validati Project Lead[5%],Validati Account Manager[10%]
97	Finalize Business Continuity/Disaster Recovery Plan	44 d	Thu 8/1/19	Tue 10/1/19	Validati Project Manager[10%],State Resource[5%],Validati Project Lead[5%],Validati Account Manager[10%]
98	Finalize QA Guidelines for Updates, patches	23 d	Wed 10/2/19	Fri 11/1/19	2 Validati Project Manager[10%],State Resource[5%],Validati Project Lead[5%],Validati Account Manager[10%]
99	Commence Final DFA Acceptance Testing	25 d	Mon 10/14/19	Fri 11/15/19	Validati Project Manager[4%],Validati Technical Lead[2%],State Resource[1%],Validati Tech Support Manager[3%],Validati Developer[2%],Validati Infrastructure[4%],Validati Systems Analyst[2%]
100	Implementation (2.15)	13 d	Mon 11/11/19	Wed 11/27/19	
101	Confirm Documentation updated, Procedures Distributed	3 d	Mon 11/11/19	Wed 11/13/19	Validati Project Lead[1%],Validati Project Manager[1%],Validati Tech Support Manager[1%]
102	Confirm staffing in place, contact lists distributed	2 d	Thu 11/14/19	Fri 11/15/19	101 Validati Project Lead[1%],Validati Project Manager[1%],Validati Tech Support Manager[1%]
103	Complete all CAP item resolutions	3 d	Mon 11/18/19	Wed 11/20/19	102 Validati Project Lead[1%],Validati Project Manager[1%],Validati Tech Support Manager[1%]
104	Confirm all deployment checklists completed for Production Area	2 d	Wed 11/20/19	Fri 11/22/19	103 Validati Project Lead[1%],Validati Project Manager[1%],Validati Tech Support Manager[1%]
105	Go Live	1 d	Mon 12/2/19	Mon 12/2/19	Validati Project Manager[19%],Validati Tech Support Manager[19%],Validati Technical Lead[19%],Validati Developer[19%],State Resource[19%],Validati Project Lead[19%],Validati Info Sec Manager[19%],Validati Infrastructure[19%],Validati Operations[19%]

Arkansas Online Insurance Verification System

Validati Implementation Plan

January, 2019

VALIDATI[®]

Revision History

REVISION #	DATE OF RELEASE	SUMMARY OF CHANGES
Version 1	January, 2019	Initial submission to satisfy RFP requirement.

Approvals

NAME	ROLE	DATE

Table of Contents

1. INTRODUCTION..... 4

 1.1 PURPOSE 4

 1.2 SCOPE 4

2. IMPLEMENTATION..... 5

 2.1 PROJECT ORGANIZATION..... 5

 2.2 PROJECT MILESTONES..... 6

 2.3 DELIVERABLES ACCEPTANCE..... 7

 2.4 PLAN TO GO LIVE..... 9

3. DELIVERABLE SCHEDULE..... 10

 3.1 KEY DELIVERABLE DATES..... 10

1. INTRODUCTION

1.1 Purpose

Arkansas Online Insurance Verification System will provide motor vehicle insurance and compliance solution that consists of Validati software and hardware products which includes requirements gathering, design, development, customization, training, testing, implementation, transition management of insurance companies, printing and mailing of letters to citizens not in insurance compliance, and public customer support.

1.2 Scope

Validati will provide all hardware and software to ensure the successful delivery of the requirements for the Arkansas Online Insurance Verification System, including documentation, staffing, and a secure and redundant environment. Below is a table of the important functionality of the system.

Project Includes
Initial system design and configuration, and the creation of maintenance files to support the system.
Any requirements gathering or workflow mapping.
Installation of all required hardware and software.
Building and testing of all required interfaces
Coordination of the implementation with insurance companies
Our plan by which the system will Go-Live
Training

2. IMPLEMENTATION

2.1 Project Organization

Validati is confident our Project Team can deliver the Milestones and Deliverables as indicated on our Work Plan. We have analyzed the work requirements on our staff and they stand ready to deliver the necessary effort required to meet our commitments.

NAME	POSITION IN ORGANIZATION	PROPOSED ROLE ON ENGAGEMENT	FOCUS OF WORK EFFORT
Peter A. Spitalieri	President	Project Oversight	Deliverables Managed
Scott A. Keller	V.P. Administrative Services	Compliance and Account Management	Contract Compliance; Account Management
Sherry L. Rasmusen	Manager, Operations	Manages Call Center Activities	Management of Call Center Activities
Dennis E. Duffield	V.P. Information Services	Project Management	Project Implementation
Frank D. Peden	Senior Software Engineer	Technical Lead	Oversight of Technical Development
Vincent L. Spitalieri	Director Business Services	Information Security Officer	Data Security Compliance and analysis
Megha Gowen	Software Engineer	Developer	Technical Development of Online Verification Systems
Aaron J. Salguero	Manager, Technical Support	Technical Support	Insurance coordinator, design and testing, technical help desk
Christian G. Bovenzi	Systems Analyst	Systems Analyst	Design, testing and report construction, and monthly reporting
Charles A. Spitalieri	Manager, Support Services	Printing and Fulfillment	Manages all activities supporting printing and fulfillment

2.2 Project Milestones

Below is a table indicating projected dates for the completion of Major Milestones and Deliverables

Major Milestone/Deliverable	Planned Completion Date mm/dd/yy
Staffing and Key Personnel	06/14/19
Data Center, Network Connectivity and Bandwidth	11/01/19
Insurance Verification System Requirements	11/12/19
Non-Compliance Notice Requirements	09/03/19
Reporting and Data Requirements	08/20/19
Payment Solution	08/30/19
Ongoing Maintenance	10/18/19
Data Security	10/11/19
Disaster Recovery and Business Continuity Plan	11/01/19
Ongoing User and Technical Support	11/01/19
Training	11/29/19
Staffing Plan	5/15/19
Training Plan	5/30/19
Data Security Plan	5/30/19
User and Technical Support Plan	5/30/19
Testing Plan	5/30/19
Maintenance Plan	5/30/19
Implementation Plan	5/30/19
Business Continuity/Disaster Recovery Plan	10/01/19
QA Guidelines for Update	11/01/19

2.3 Deliverables Acceptance

Each deliverable will be presented to the DFA or Contract Monitor 15 days before acceptance to facilitate the review. Validati will provide time at each status meeting to review deliverables. Time will be scheduled outside of the meeting for more in-depth questions and providing more detail to the stakeholders responsible for the deliverable.

Deliverable	Responsible
Final Project Staffing Plan Completion of Background Checks for Project team Staffing and Key Personnel	State Monitor Validati Project Manager Account Manager
Final Hardware Specifications Approved Connectivity Locations	DFA OIS Validati Project Manger
Web Service Authentication Method Approvals Final Testing Plan Approval Agreement on definition of defect categories Validati Testing Approval UAT Sign-Off Insurance Companies issuing Vehicle Insurance	DFA OIS Validati Project Manager Validati Project Lead
Validati Testing Approval UAT Sign-Off	DFA Validati Project Manager Validati Technical Lead
Validati Testing Approval UAT Sign-Off	DFA Validati Project Manager Validati Technical Lead
Solution Direction Approval Validati Testing Approval UAT Sign-Off	DFA Validati Project Manager Validati Technical Lead
Final Maintenance Plan QA Guidelines for updates, patches, and upgrades New and revised documentation and help files	DFA Validati Project Manager Validati Technical Lead
Final Security Plan	State Monitor Validati Project Manager

Final Security Plan Final Disaster Recovery and Business Continuity Plan DR test annual Schedule	State Monitor DFA Validati Project Manager
Final Support Plan Final definitions on Issue Priorities	DFA Validati Project Manager
Final Training Plan	DFA Validati Project Manager Validati Project Lead

2.4 Plan to Go Live

The software will be released in production after obtaining sign-offs from the State. The application code and database will be frozen in the UAT environment and migrated from the UAT environment to production by the build master. The build master will review the software installation request submitted by the programmers in detail and follow the steps to migrate the code to production. The software release will be a pre-planned event in coordination with the State and will be scheduled during off hours. Validati will establish a conference bridge to ensure all required stakeholders participate in the scheduled installation. Validati will create a post-installation checklist of validation items to be completed once the deployment is finalized. The completed checklist will be submitted to DFA for review.

The Validati Project Plan has completion of all development, testing and training of the end of November 2019. The Online Insurance Verification System will be ready for live processing starting on Monday, December 2. As part of launch, Validati recommends the following plan/direction:

- A. Starting on Monday, November 11, begin a series of targeted communication pieces for Insurance Companies, State Agencies and Arkansas Citizens announcing the upcoming launch of the new system. The Portal hosting the Arkansas Online Insurance Verification System will contain information that Citizens, State Users and Insurance Companies will be able to read on the Launch.
- B. Validati suggests a pre-launch pilot with live data, the week before the live launch. We would obtain files from the insurance companies and the State, perform all of the processes to verify the results and share the information with DFA. We would suggest limited State users access the site to review data.

Subject to the completion of the pre-launch pilot we will be prepared to launch on Monday, December 2.

3. DELIVERABLE SCHEDULE

3.1 Key Deliverable Dates

Table 1. Key Deliverable Dates

KEY ACTIVITY	DUE DATE	COMMENT

Arkansas Online Insurance Verification System

Validati Test Plan

January, 2019

VALIDATI[®]

Revision History

REVISION #	DATE OF RELEASE	SUMMARY OF CHANGES
Version 1	January, 2019	Initial submission to satisfy RFP requirement.

Table of Contents

1. OVERVIEW	4
1.1 APPROACH AND STRATEGY	4
1.2 SCOPE	7
1.3 ASSUMPTIONS	7
1.4 RISKS.....	8
1.5 SPECIAL CONSIDERATIONS.....	8
1.6 TEST METHODOLOGY.....	10
1.6.1 <i>Elements of Testing</i>	10
1.7 TYPES OF TESTING	11
1.7.1 <i>Functional Testing</i>	11
1.7.2 <i>Data Testing</i>	12
1.7.3 <i>User Testing</i>	15
1.7.4 <i>Accessibility Testing</i>	18
1.7.5 <i>Operational (Non-functional Systems Requirements) Testing</i>	18
1.8 PHASES OF TESTING	28
2. TEST SCHEDULE	31
3. TEST MONITORING AND REPORTING	32
3.1 MONITORING.....	32
3.2 REPORTING	33
4. GLOSSARY	35
5. DELIVERABLE SCHEDULE	36
5.1 KEY DELIVERABLE DATES.....	36

1. OVERVIEW

1.1 Approach and Strategy

Validati utilizes a systematic testing approach that begins with engineering quality in the design stage of all projects. Checklist reviews and approvals are requested to advance through feasibility and development. A key element of all of our testing efforts is the extensive test case library that has been developed, where expected results are predictable and required for each test case. This strategic approach ensures the end result of every project is a deliverable that matches all business requirements in the request.

Validati has a Development, Systems Integration and QA Testing environments in the Hudson, Ohio office that will be utilized for the first stages of the project before promoting to the production environment for acceptance testing.

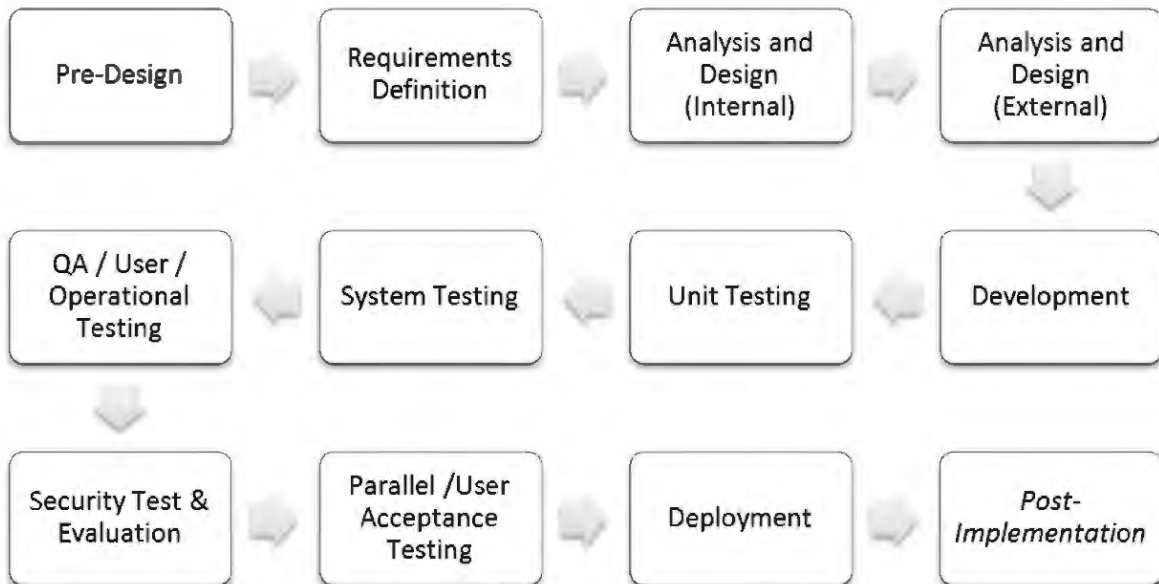
Validati employs three levels of testing. Level One is unit testing of the change that is performed by a Senior Technical person to ensure that the application was properly modified and the code meets our requirements for design and documentation. Validati technical quality personnel and project management perform Level Two Testing, which is QA functional testing and SIT—System Integration Testing, that will confirm correct module processing and integration with other system components. Validati then performs Level Three Testing with internal users including our call center staff and a final User Acceptance Test (UAT) with DFA to ensure the application meets all requirements and performs as desired. This final level of testing does not proceed until all procedures are properly documented.

Test scenarios are written for each phase of the testing effort and must be approved by the core members on the project team (development, business, operational and administrative representatives). Test scenarios include both functional tests and operational tests. Each project deliverable is initially identified by reviewing the business requirements and determining the acceptance criteria for each.

It is our belief that the end result of all testing efforts will validate that the project objectives are achieved.

Validati will employ components of both our Corporate Scientific Approach methodology as well as our standard IT Software Development methodology. Both methods have a series of required deliverables which will be reflected on the project plan. Our approach is consistent with **PMBOK®**, Project Management Body of Knowledge.

VALIDATI® PHASED APPROACH



The first phases of the project (Pre-Design and Requirements definition) will involve the creation of the full specification set that that system will need to deliver based on the needs of DFA. The requirements gathering phase involves systematic documentation reviews and follow-up interviews with project stakeholders. The requirements must include all required external interfaces (non-user), all internal functional requirements, all user interface needs and all operational needs. It is critical that Validati and DFA both view this phase as a team effort so that the system will fulfill all of project requirements, and establish the basis for successful test plan creation in subsequent phases. Test plans at each level will focus on components of each of these key deliverables and from these validated requirements Validati will develop test scripts that will result in the business, functional, and operational requirements being mapped to a testing scenario.

The second phase of our approach is the Analysis and Design Phase for both internal and externally facing system components. First, the Functional Design of the system is documented and flowcharted. This would also include any database design or modification, software component/interface design, and the definition of the project development rules. Upon completion of the functional design Validati will complete an Architecture Design to ensure that the components identified in the functional design are properly placed, sized and configured to achieve maximum effectiveness. Once all of the design components are completed, the individual modules are assigned to developers.

The third phase of our approach, the Development phase, will commence once the technical design has been approved. The responsible developer implements the functionality in accordance with the rules and guidelines of our documented practices. Before any developer can sign off on module development being completed, the test scenarios for the module must be created. Once the newly developed module has been certified as fully tested, it will be integrated with other modules to form the system.

Once the development team has completed all of the technical testing, the system is then turned over to the SIT and QA teams for testing, and the final Validati internal phases of our approach. The SIT will focus on the validation of all technical components integrating into a single solution, while the QA testing will focus on the higher level, end-to-end type testing that validates that the system is functionally and technically working correctly in an operational environment. During this phase, the project lead will coordinate the feedback and resolution of defects that may arise.

Security tests are included in all phases of testing. Once all Validati test phases have been completed, the SIT and QA teams will evaluate the results of all security tests to determine whether the system meets all security requirements. A Security Test & Evaluation report will be completed, documenting the outcome of all security tests.

Once the SIT and QA teams have signed off on their testing results, the User Acceptance Testing (UAT) with DFA will commence. This testing phase is centered on the user experience (GUI, Process flow, and inter-system interactions). We will also perform load testing at this time. This is the final level of testing in the Validati approach. Once this stage is completed the system will be readied for deployment/installation.

The final phase of the Validati approach is the Deployment and Post-Implementation Phase. As noted above, once the testing phase is completed and approved, and all the Operational, Technical and Administrative documentation is reviewed and readied for production, the deployment of the system will be completed. A deployment plan will be created that identifies tasks, responsibilities, and the timing for each piece of the system to be deployed. Deployments occur during non-business. The execution of this deployment plan will result in the Arkansas Online Insurance Verification System going live.

Finally, once the system is deployed, a series of Post-Implementation Quality Checks (PIQC) will be performed to ensure that the system is operating as intended. These validation activities are similar in nature to tests performed in the QA and UAT test phases, and will occur for the first 30 days of the systems deployment. A security scan will be run to ensure that the system has not been compromised.

1.2 Scope

This test plan specifies the testing for the Arkansas Online Insurance Verification System to be provided by Validati.

The following items will be within the scope of this test plan.

- Registration Load
- Insurance Record Load
- Vehicle Insurance Matching
- Monthly Response File
- Non-Compliance Notices
- Portal
- Web Service
- Audit Logging
- Reporting
- Data Transmission Security
- Encryption
- Platform
- Performance

1.3 Assumptions

This test plan assumes the following conditions.

1. A sample Registration full load file will be available for testing.
2. Sample Insurance files will be available for testing.
3. Sample Self-Insurance files will be available for testing.
4. Sample small carrier files in a Microsoft excel format will be available for testing

1.4 Risks

All testing risks will be tracked in the Risk Register according to the risk management procedures in the Project Risk Management Plan.

Testing risks include the following.

- Delay in completion of development
- Problems with a third party supplier of software components
- Test environment not available
- Test data not available
- Incomplete software specifications
- Subject Matter Experts unavailable when needed by testers
- Tester lack of knowledge of the system
- Failure of to follow up on testing reviews
- Significant defects prevent testing from continuing.
- Early unit testing not sufficiently conducted

1.5 Special Considerations

The following are Special Considerations for the Arkansas Online Insurance Verification System Project:

Validati will obtain the DFA approval at the completion of each stage of testing. This signature will be the final step in completing one phase and progressing into the next. The Validati Project Manager ensures that DFA receives any/all testing materials needed in order for the approval to be granted. Validati will provide a testing report to the State's Contract Monitor within fifteen (15) business days after of the completion of each phase of testing. If issues prevent the successful completion of the final acceptance test before the launch of the program, the State of Arkansas may:

1. Allow Validati the opportunity to repair and/or modify the system and restart the testing;
2. Perform additional acceptance tests until the system(s) have operated within the specifications as stated in the Contract for thirty (30) consecutive days;
3. Accept minor deviations from the specifications;
4. Terminate the Contract in its entirety

Validati and DFA will mutually agree to the definition of Severity Level 1 and 2 defects after contract award. All critical defects (Severity Level 1 & 2) must be resolved prior to Go Live.

Validati will submit plans to address and fix all severity level 1 and 2 deficiencies within five (5) days of identification. This plan shall include, but not be limited to, the development of a Corrective Action Plan (CAP) for each defect or deficiency. The CAP shall identify in detail the remedial actions taken by Validati along with the date(s) when each remedial action is to be implemented. Each CAP shall be subject to review and approval by the State's Contract Monitor.

Validati will ensure that during testing, the system must perform successfully under all normal operational conditions in accordance with the requirements of the Contract, Manufacturer's operating instructions, and the VeriTrak technical and user specifications.

Validati will coordinate and test the solution with each insurance company issuing motor vehicle insurance policies in the State of Arkansas and provide the test results to the State Project Manager.

Validati will give three (3) or more weeks' notice to the State assigned project manager prior to the commencement of testing if test insurance data is required from the motor vehicle database.

Validati will provide a minimum of fifteen (15) days' notice to all the authorized State test users prior to the commencement of testing.

Validati will provide test cases/scenarios to State Agencies for review prior to the commencement of user acceptance testing for each insurance provider. Test results must be reviewed and approved by the State prior to testing completion. Without State approval of the test results an insurance company must not be switched to production. The State reserves the right to accept or reject the test results.

1.6 Test Methodology

1.6.1 Elements of Testing

According to accepted best practices, four specific elements of testing are used to determine correctness: inspection, analysis, demonstrations, and test.

- **Inspection** – Inspection is the direct perception of the correctness of the item under test. Examples include viewing a graphical user interface-based entry form to ensure that the field labels are correct, viewing a printed report to ensure that the format and content are correct, listening to an audio output of an accessibility-enabled user interface to ensure that the audio messages are correct, or other examples where the immediate perception of the item under test will reveal whether it is correct.
- **Analysis** – Analysis is the assessment, calculation, or breakdown of an item under test to determine that the perceived information is correct. Analysis is the process of taking the immediate data or presentation and either decomposing it or combining it with other information to ensure that the item under test is correct. Examples of analysis include the manual calculation of a result displayed by the item under test, using the source data used by the test item to ensure that the item under test performs the calculation correctly, the investigation to determine whether a business rule has been applied correctly, or other examples which validate that information provided by or functions performed by the item under test are correctly derived.
- **Demonstration** – Demonstration is the simple execution of a function in the item under test. In demonstration, the item under test initially resides in one state and is triggered to perform some function that either results in an output and/or causes the item under test to move to a new state. Examples of demonstration include accepting a form, generating a report, posting to an account, saving a file, or other actions that are the direct result of triggering an event. Like inspection, the correctness of a demonstration can be immediately perceived; but unlike inspection, an event must occur to cause the item under test to perform its function.
- **Test** – Test is the methodical (and typically documented) combination of a set of inspections, analyses, and demonstrations that provide a well-defined test procedure to ensure the correctness of some functionality in the item under test. Usually, a complex function cannot be assessed for correctness by a single inspection, analysis, or demonstration. Most commonly, a series of steps must be performed that include some ordered set of demonstrations with inspections and analysis to verify functionality.

1.7 Types of Testing

1.7.1 Functional Testing

Vehicle Insurance Matching

- FT1. Verify that insurance records matched to a registration record have a person link positively connecting names or addresses between the registered vehicle data and the insured vehicle data.
- FT2. Verify that insurance records matched to a registration record have a vehicle link positively connecting the registered vehicle's VIN to an insured vehicle's VIN.
- FT3. Verify that insurance records without a matching vehicle are left unmatched.
- FT4. Verify that vehicles without a matching insurance policy are marked as uninsured.
- FT5. Verify that matching process progress and errors are recorded in the log files.
- FT6. Verify that matching process errors/alerts are sent via file or e-mail alert to all recipients.
- FT7. Verify that statistics are recorded.
- FT8. Verify that the match rate meets or exceeds contractual standard.

Non-Compliance Notices

- FT9. Verify that the DFA approved letter template is used.
- FT10. Verify that all non-compliant vehicles for the owner are included on the letter.
- FT11. Verify that the initial batch of 450,000 non-compliance notices is staggered and mailed as agreed upon with DFA.

Web Site

- FT12. Verify that the web site contains a link to the State's payment portal.
- FT13. Verify that the web site is responsive on a desktop computer, laptop computer, table, and phone.

1.7.2 Data Testing

Insurance Record Loading

- DT1. Verify that records are correctly loaded into the Insurance Database for each of the following file formats.
 - a. Large Insurer Format
 - b. Small Insurer Excel Format
 - c. Self-Insurance
- DT2. Verify that record load errors are logged and returned to the insurance company.
- DT3. Verify that each insurance file is treated as a full book of business.
 - a. Policies previously in force that are not in the current file for an insurance company are cancelled.
 - b. New policies in the current file for an insurance company are added.
 - c. Policies previously in force that are in the current file for an insurance company remain in force and are updated with the latest information.
- DT4. Verify that insurance load progress is recorded in the log files.
- DT5. Verify that the vehicle identification number (VIN) on each insurance policy is validated.
- DT6. Verify that statistics are recorded.

DFA Registration Load

- DT7. Verify that records are correctly loaded into the registration database.
- DT8. Verify that the correct registration records are marked as Active.
- DT9. Verify that new records are marked as Active.
- DT10. Verify that expired vehicle registration records which have not been superseded, replaced, or removed from the DFA database are kept in the registration database for at least 3 years.
- DT11. Verify that changes to vehicle registration information are correctly recorded in the registration database.
- DT12. Verify that expired vehicle registration records which have been superseded, replaced, or removed from the DFA database are kept in the registration database for at least 3 years.

DFA Response File Generation

- DT13. Verify that records are exported in the correct format.
- DT14. Verify that the correct registration records are marked as Insured.
- DT15. Verify that the correct registration records are marked as Uninsured.

Web Site

- DT16. Inquiries: Verify that searching the active database for vehicles by Plate gives the correct results.
 - a. View vehicle, owner information
 - b. View insurance policy history
- DT17. Inquiries: Verify that searching the active database for vehicles by VIN gives the correct results.
 - a. View vehicle, owner information
 - b. View insurance policy history

- DT18. Inquiries: Verify that searching the active database for vehicles by PIN Number gives the correct results.
- a. View vehicle, owner information
 - b. View insurance policy history
- DT19. Inquiries: Verify that searching the active database for vehicles by NAIC and Insurance Policy Number gives the correct results.
- a. View vehicle, owner information
 - b. View insurance policy history
- DT20. Inquiries: Verify that searching the active database for vehicles by Last Name, Street Name & Zip Code gives the correct results
- a. View vehicle, owner information
 - b. View insurance policy history
- DT21. Inquiries: Verify that the multiple vehicle search results page shows the correct data for Owners if the search was by Name and Address; NAIC and Policy Number; or Policy Number, Last Name and Zip Code.
- DT22. Reports: Verify that the data on the Support Items report is correct for the given date range.
- DT23. Reports: Verify that the data on the System Availability/Uptime report is correct.
- DT24. Reports: Verify that the data on the Letters Generated report is correct for the given query response range.
- DT25. Verify that the data displayed for the User Access Logs is correct.
- DT26. Verify that the data on the User Access Logs is correctly exported to MS Excel.

Web Service

- DT27. Verify that the web service accepts the required query fields.
- DT28. Verify that the web service returns the required query response fields.
- DT29. Verify that the web service can successfully query insurance company web services for both “confirmed” and “unconfirmed” queries.

Non-Compliance Notices

- DT30. Verify that all owner and vehicle information on the letter is correct.

1.7.3 User Testing

Web site

- UT1. Logon: Verify you can log on with proper user name and password
- UT2. Logon: Verify that the password is masked on the login screen.
- UT3. Inquiries: Verify you can search the active database for vehicles by Plate and the results give the following views.
 - a. View vehicle, owner information
 - b. View insurance policy history
 - c. View customer notice and call center history
- UT4. Inquiries: Verify you can search the active database for vehicles by VIN and the results allow you to do the following.
 - a. View vehicle, owner information
 - b. View insurance policy history
 - c. View customer notice and call center history

- UT5. Inquiries: Verify you can search the active database for vehicles by PIN and the results allow you to do the following.
- a. View vehicle, owner information
 - b. View insurance policy history
 - c. View customer notice and call center history
- UT6. Inquiries: Verify you can search the active database for vehicles by NAIC and Insurance Policy Number and the results allow you to do the following.
- a. View vehicle, owner information
 - b. View insurance policy history
 - c. View customer notice and call center history
- UT7. Inquiries: Verify you can search the active database for vehicles by Last Name, Street Name & Zip Code and the results allow you to do the following.
- a. View vehicle, owner information
 - b. View insurance policy history
 - c. View customer notice and call center history
- UT8. Inquiries Insurance Details Screen: Verify insurance transactions are listed in descending order by Insurance Policy Update Date.
- UT9. Reports: Verify that the data on the Support Items Query Volume report is correct for the given date range Query Volume report can be generated and displayed for a given date range.
- UT10. Reports: Verify that the data on the System Availability/Uptime report is correct.

- UT11. Reports: Verify that the data on the Letters Generated report Query Volume report is correct for the given query response range s: Verify that the Query Volume report can be generated and displayed for a given query response range.
- UT12. Reports: Verify that the user can export all reports to the following formats.
- a. MS Excel.
 - b. .CSV
 - c. .TXT
 - d. .PDF
- UT13. Verify that the User Access Logs can be displayed.
- UT14. Verify that the user can export the User Access Logs to the following formats.
- a. MS Excel
 - b. .CSV
 - c. .TXT
 - d. .PDF
 - e. Any and all non-infrastructure logs (i.e., application logs, maintenance logs, change management logs, etc.)
- UT15. Verify that the current version of all required project documentation, including project plans, methodologies, change request tracking, and maintenance schedules, business rules, and risk management may be viewed by authorized users.

1.7.4 Accessibility Testing

Web site

- AT1. Verify that the web site is accessible to the blind. (Use test questions in the VPAT—Voluntary Product Accessibility Template.)
- AT2. Verify that the web site is accessible to those with impaired vision. (Use test questions in the VPAT—Voluntary Product Accessibility Template.)

1.7.5 Operational (Non-functional Systems Requirements) Testing

1.7.5.1 Performance Testing

OMV Registration Load

- PT1. Verify that registration files can be updated into the registration database and available for query within twenty-four (24) hours of receipt.

Vehicle Insurance Matching

- PT2. Verify that insurance files can be updated into the insurance database, matched, and available for query within twenty-four (24) hours of receipt.
- PT3. Verify that insurance files are updated into the insurance database, matched, and available for query.
- PT4. Verify that Self-Insurance files can be updated into the insurance database, matched, and available for query within twenty-four (24) hours of receipt.
- PT5. Verify that Self-Insurance files are updated into the insurance database, matched, and available for query.

Web Service

PT6. Verify that responses to queries are returned within 5 seconds.

Web Site

PT7. Verify that responses to queries are returned within 5 seconds.

1.7.5.2 Quality Testing

Web Site

QT1. Verify that connections that are not compliant with TLS standards are rejected.

QT2. Verify that all connections are logged.

QT3. Verify that all requests and responses are logged.

QT4. Logon: Verify the session time out is 15 minutes of inactivity.

QT5. Logon: Enter an invalid user name and verify “Invalid user name or password” appears.

QT6. Logon: Verify that the user ID is locked after five (5) sequential incorrect password attempts.

QT7. Logon: Enter an invalid password and verify “Invalid user name or password.” Message appears.

QT8. Login: Verify that the password is not displayed in clear text on the screen.

QT9. Logon: Using provided user names and passwords, verify the following roles:

- a. User Administration – User in this role can login to the web site, change their password, request password reset, add users, update users, reset passwords, and maintain the list of entities (insurance company or State agency).
- b. Entity User Administration – User in this role can login to the web site, change their password, and request password reset. Users with this privilege may also perform the following task for other

users within their entity (insurance company or State agency): add users to their entity, update a user's role within their entity, reset passwords.

- c. Citizen of Arkansas – Users in this role may login to the web site, change their password, request password reset, and submit queries for their own vehicle.
- d. State Entity – Users in this role may login to the web site, change their password, request password reset, submit queries for any vehicle, view letters, and submit self-insurance files.
- e. Arkansas Insurance Company – Users in this role may login to the web site, change their password, request password reset, and submit queries for any insurance policy issued by their company. Users from small insurance companies may also upload insurance files.
- f. Entity Reports – Users in this role may login to the web site, change their password, request password reset, and view reports and logs available to their entity.

QT10. Logon: Verify that if you attempt to enter any screen for which you do not have privilege via typing the URL in the address bar, you are redirected to the main screen.

QT11. Password Change: Verify you can change your password

QT12. Password Change: Verify that the password fields are masked on the change password screen.

QT13. Password Change: Verify that the password change screen requires the old password to match your existing password, and the new password and Verify password fields to exactly match each other.

QT14. Password Change: Verify that the user is notified to change the password at 110 days and 115 days after password creation.

QT15. Password Change: Verify that if the password is 120 days old, you are forced to change your password before the login can complete.

QT16. Password Change: Verify that if the password is more than 120 days old, the user ID is reset.

QT17. Password Change: Verify that if the password is a temporary password, you are forced to change your password before the login can complete.

- QT18. Password Change: Verify that the password policy is enforced.
- a. The password must require at one character in each of the following four groups to be present in every password: uppercase letters, lowercase letters, digits, and standard keyboard symbols (!@#%&*_+=~/~`;;,<>|).
 - b. The password must be at least eight (8) characters in length.
 - c. The password does not contain dictionary words or acronyms
 - d. The password must not contain the username or any word in the user's profile.
 - e. The password must not be the same as the last 12 passwords for the same user.
- QT19. Password Change: Verify you can enter your user name and a password reset request is emailed to the password reset contact.
- QT20. Logout: Verify after logging out you are redirected to the log in screen
- QT21. Logout: Verify that if you attempt to enter any privileged screen via entering the URL on the address bar while logged out, you are redirected to the log in screen.
- QT22. User Maintenance: Verify that you can add a new user. Verify that all fields must be completed before the user is added.
- a. Verify that the password and password verification fields are masked on the screen.
 - b. Verify that the Temporary Password Indicator is checked (true) and cannot be changed.
 - c. Verify that the password policy is enforced.
 - i. The password must require at one character form each of the following four groups to be present in every password: uppercase letters, lowercase letters, digits, and standard keyboard symbols (!@#%&*_+=~/~`;;,<>|).
 - ii. The password must be at least eight (8) characters in length.
 - iii. The password must not be the same as the last 12 passwords for the same user.

- QT23. User Maintenance: Verify that you can log in as the new user.
- a. Verify that you are forced to change the password upon login.
 - b. Verify that the user is limited to the authorized role(s)/privilege(s).
- QT24. User Maintenance: Verify that after the new user logs in and changes the password, the Temporary Password Indicator on the user's account registration is cleared (unchecked/false).
- QT25. User Maintenance: Verify that you can change the password of a user. Verify that after the new password is saved, the Temporary Password Indicator is checked (true).
- QT26. User Maintenance: Verify that users are granted only the minimum access and privileges required to perform their duties.
- QT27. User Maintenance: Verify that the password is not displayed in clear text on the screen.
- QT28. Verify that the portal maintains uptime and availability of 99.5 percent (99.5%).

Web Service

- QT29. Verify that connections that are not compliant with TLS v1.2 are rejected.
- a. Outdated versions of SSL/TLS are rejected.
 - b. Expired or invalid certificate is rejected.
- QT30. Verify that unauthenticated web service connections are rejected.
- QT31. Verify that all web service connections are logged.
- QT32. Verify that all web service requests and responses are logged.
- QT33. Verify that web service session timeout after 15 minutes of inactivity.
- QT34. Verify that the web service maintains uptime and availability of 99.5 percent (99.5%).

Audit Logging

- QT35. Verify that all activities on the Arkansas Online Insurance Verification System are logged and can be tracked.
- QT36. Verify that all successful and unsuccessful log-on attempts are logged and can be tracked.
- QT37. Verify that all successful and unsuccessful attempts to access, create, write, delete, or change permission on a user account, file, directory, or other System resource are logged and can be tracked.
- QT38. Verify that all successful and unsuccessful attempts to change account passwords are logged and can be tracked.
- QT39. Verify that all successful and unsuccessful actions by privileged accounts are logged and can be tracked.
- QT40. Verify that all successful and unsuccessful attempts for users to access, modify, or destroy the audit log are logged and can be tracked.
- QT41. Verify that all audit log records include the following data.
- a. Date and time of the event
 - b. Component of the System (e.g., software component, hardware component) where the event occurred.
 - c. IP address
 - d. Type of event
 - e. User/subject identity
 - f. Outcome (success or failure) of event.

Data Transmission Security

- QT42. Verify that transmission of System data across public networks is protected by encryption methods such as Virtual Private Network (VPN), Secure File Transfer Protocol (SFTP), or File Transfer Protocol over TLS (FTPS).
- QT43. Verify that confidential or Sensitive Data (e.g., VIN, policy number) transmitted by email is encrypted using TLS or file encryption.
- QT44. Verify that Wireless (Wi-Fi) transmissions used to access the Arkansas Online Insurance Verification System with portable/mobile devices or internal networks are encrypted using WPA2 or later.
- QT45. Verify that encryption is used for all access to the Arkansas Online Insurance Verification System remotely from a shared network.
- QT46. Verify that each SFTP authorized user has a unique logon ID and password with a designated directory before using the transmitting server.
- QT47. Verify that users do not have access to shared directories unless required for business needs.
- QT48. Verify that directories use encryption at rest or file encryption.
- QT49. Verify that Anonymous FTP use is not permitted.
- QT50. Verify that all transactions and transfers are logged, reviewed for prohibited activity on a consistent basis, and are fully auditable.
- QT51. Verify that plain FTP is not used on any Internet-facing systems or where confidential or Sensitive Data is transmitted.

1.7.5.3 Interface Testing

Insurance File Processing Tests

- IT1. Verify that data is transmitted over SFTP with AES-256 file encryption.
- IT2. Verify that decryption of files occurs without error.
- IT3. Verify that file with any of the following errors have a rejection e-mail notice sent to configured recipients with the error correctly flagged in the message.
 - a. The file cannot be decrypted.
 - b. The NAIC in the file name does not match a participating insurance company.
 - c. The date in the file name does not match the current processing period.
 - d. The record count in the file name does not match the number of records in the file.
 - e. The data format in the file is incorrect.
 - f. For X12 files, the file has a translation error.
- IT4. Verify that translation of valid X12 files occur without error.

DFA Registration Load

- IT5. Verify that data is transmitted over SFTP with AES-256 file encryption.
- IT6. Verify that the encrypted registration initial load is available.
- IT7. Verify that decryption of the registration load file occurs without error.
- IT8. Verify that record load errors are logged and an e-mail alert is sent to all configured recipients.
 - a. Record count errors
 - b. All other errors

- IT9. Verify that registration load progress and errors are recorded in the log files.
- IT10. Verify that processing errors/alerts are sent via e-mail to all configured recipients.
- IT11. Verify that statistics are recorded.

Web Service

- IT12. Verify that the web service is using the correct WSDL.
- IT13. Verify that searching on VIN gives the correct response.
- IT14. Verify that the correct response codes are used.
- PT8. Verify incoming request that do not conform to the WSDL are rejected.

1.7.5.4 Other Testing

Website

- A1. Verify that the Web Site is not susceptible to Injection attacks.
- A2. Verify that the Web Site has no Broken Authentication and Session Management.
- A3. Verify that the Web Site has no Sensitive Data Exposure.
- A4. Verify that the Web Site has no XML External Entities (XXE).
- A5. Verify that the Web Site has no Broken Access Control.
- A6. Verify that the Web Site has no Security Misconfiguration.
- A7. Verify that the Web Site is not susceptible to Cross-Site Scripting (XSS) attacks.
- A8. Verify that the Web Site is not susceptible to Insecure Deserialization attacks.
- A9. Verify that the Web Site is not Using Components with Known Vulnerabilities.
- A10. Verify that the Web Site does not have Insufficient Logging & Monitoring.

Encryption

- A11. Verify that all data files are encrypted.
- A12. Verify that all databases are encrypted.
- A13. Verify that data in transit is encrypted.
- A14. Verify that all passwords are stored in an encrypted format and cannot be viewed in clear text.

Platform

- A15. Verify that all operating systems used are currently supported versions of the software manufacturer.
- A16. Verify that all DBMSs used are supported versions of the software manufacturer.
- A17. Verify that all development tools used are currently supported versions of the software manufacturer.
- A18. Verify that all other software used is a currently supported version of the software manufacturer.

1.8 Phases of Testing

Test Phase Chart

Test Phases	Level 1 -Unit (Validati)	Level 2 - Integration (Validati SIT and QA)	Level 3 - System (Validati users)	Level 3 - Acceptance (DFA UAT)	Post Implementation Quality Checks (PIQC)
Objective	To test units of code that are considered complete	To ensure that aggregates of units perform accurately together	To ensure that the system performs according to documented requirements and the customer's expectations	To ensure that the completed system performs according to documented requirements and the customer's expectations	To ensure that the installed system performs according to documented requirements
Focus	Correctness of specific functionality of a unit and its input, outputs, and primary and fault handling	Correctness of the aggregate with regard to its associated requirements	Correctness of the system and that it conforms to stated requirements	Correctness of all functionality of the system	Correctness of installation and all functionality of the system
Test Types/ Subtypes	Functional (low-level), Data, Performance, Integrity/Security, Interface	Functional, Data, Performance, Reliability, Integrity/Security, Interface, Usability	Functional, Data, Performance, Reliability, Integrity/Security, Interface, Usability	Functional, Data, Performance, Reliability, Integrity/Security, Interface, Usability, Parallel Testing	Functional, Data, Performance, Reliability, Integrity/Security, Interface, Usability
Staffing	Senior Software Engineer(s)	Validati project management,	Validati internal users, including Validati computer operations and Validati call center users	DFA, Validati (as needed)	DFA, AID, ASP, ACIC, AHP
Environment	Development (Validati-Dev)	System Test (Validati-Dev)	System Test (Validati-Test)	System Test (Validati - Prod)	Production System

<p>Entry Criteria</p>	<ul style="list-style-type: none"> •Code complete •Test plan approved •Unit test procedure and scenarios approved •Unit test data approved 	<ul style="list-style-type: none"> •Code complete •Installation programs and scripts complete •Installation instructions complete •Test plan approved •Unit test successful •Integration test procedure and scenarios approved •Integration test data approved •Integration test exit criteria, including allowable errors and functional discrepancies, specified 	<ul style="list-style-type: none"> •Code and documentation baselined •Installation programs and scripts complete •Installation instructions complete •Test plan approved •Integration test successful •System test procedure and scenarios approved •PIQC procedures and scenarios approved •System test data approved •System test exit criteria, including allowable errors and functional discrepancies, specified •Unit and Integration test reports complete •Requirements Traceability Matrix complete •User documentation complete •Test Readiness Review minutes complete 	<ul style="list-style-type: none"> •Code and documentation baselined •Installation programs and scripts complete •Installation instructions complete •Test plan approved •Integration test successful •Acceptance test procedure and scenarios approved •PIQC procedures and scenarios approved •Acceptance test data approved •Acceptance test exit criteria, including allowable errors and functional discrepancies, specified •Unit, Integration, and System test reports complete 	<ul style="list-style-type: none"> •Code and documentation baselined •PIQC procedures and scenarios approved •PIQC exit criteria, including allowable errors and functional discrepancies, specified •Acceptance test reports complete •Code installed in production
-----------------------	--	--	--	--	---

<p>Suspension Criteria</p>	<ul style="list-style-type: none"> •Environment Issues •Design rework •Development rework •Requirements changes 	<ul style="list-style-type: none"> •Unit development not complete •Unit test not complete, unsuccessful, or inadequate •Environment issues •Design rework •Development rework •Requirement changes •Defects encountered > X •Fault with major feature that prevents significant functionality from being tested 	<ul style="list-style-type: none"> •Environment issues •Design rework •Development rework •Requirement changes •Defects encountered > X •Installation problems •Fault with major feature that prevents significant functionality from being tested 	<ul style="list-style-type: none"> •Environment issues •Design rework •Development rework •Requirement changes •Defects encountered > X •Installation problems •Fault with major feature that prevents significant functionality from being tested 	<ul style="list-style-type: none"> •Environment issues •Fault with major feature that prevents significant functionality from being operational
<p>Exit Criteria</p>	<ul style="list-style-type: none"> •Test logs approved •Unit test scenarios passed •Unit is baselined 	<ul style="list-style-type: none"> •Test logs approved •Allowable errors and functional discrepancies •Allowable errors and functional discrepancies do not exceed thresholds 	<ul style="list-style-type: none"> •Test logs approved •Allowable errors and functional discrepancies do not exceed thresholds •System is baselined 	<ul style="list-style-type: none"> •Test logs approved •DFA acceptance 	<ul style="list-style-type: none"> •PIQC logs approved •DFA acceptance

2. TEST SCHEDULE

The timeline for all of the development activities including test plan, test design, test cases and scenario development, approval, actual testing (including parallel testing and security testing), exit criteria evaluation, and quality assurance will be covered in a comprehensive Project Plan and managed by the Validati Project Manager after DFA approval. Weekly schedule updates will be provided to DFA.

3. TEST MONITORING AND REPORTING

3.1 Monitoring

Testing progress will be monitored and reported on a weekly status report. The weekly status report will include the following.

- Estimated testing man hours
- Actual testing man hours to date
- Estimated testing man hours to complete
- Number of test cases
 - Executed
 - Passed
 - Failed
 - Not executed
- For each problem severity level (high/medium/low)
 - Number of problem reported
 - Number of problems resolved
 - Number of problems retested
 - Number of problem closed
 - Number of problems open

Weekly status reports will be evaluated by project management to identify any trends that may impact project schedule and take corrective action.

3.2 Reporting

The following reports will be produced for each of the phases Unit Testing, Systems Integration Testing, QA Testing, and User Acceptance Testing.

- Test Checklist showing pass/fail status of all entry, execution, and exit criteria.
- Bug Log listing all defects discovered their current status, and the remediation actions taken.
- Tests and Test Scenarios with pass/fail status of all tests and test scenarios. Hardcopy or electronic output of the process will be included to demonstrate the success or failure of the test criteria.
- A summary report of the testing phase. The report will include
 - The environment in which the testing took place.
 - The version/revision of the software.
 - An evaluation of expected versus actual results.
 - The impact of any variances.
 - A summary of the metric the metrics monitored during the testing effort.
 - Conclusions regarding the quality and stability of the solution.

At the conclusion of the QA testing phase, a Security Test & Evaluation report will be produced. The report will detail the following.

- Management Controls
 - Risk Assessment
 - Planning
 - Systems and Services Acquisition
 - Certification, Accreditation, and Security Assessments

- Operational Controls
 - Personnel Security
 - Physical and Environmental Protection
 - Contingency Planning
 - Configuration Management
 - Maintenance
 - System and Information Integrity
 - Media Protection
 - Incident Response
 - Awareness and Training

- Technical Controls
 - Identification and Authentication
 - Access Controls
 - Audit and Accountability
 - System and Communications Protection

The following reports will be produced at the conclusion of the PIQC phase.

- PIQC Checklist showing pass/fail status of all entry, execution, and exit criteria.
- Bug Log listing all defects discovered their current status, and the remediation actions taken.
- PIQC Tests and Test Scenarios with pass/fail status of all tests and test scenarios. Hardcopy or electronic output of the process will be included to demonstrate the success or failure of the test criteria.
- A summary report of the PIQC phase. The report will include
 - The environment in which the testing took place.
 - The version/revision of the Arkansas Online Insurance Verification System software.
 - An evaluation of expected versus actual results.
 - The impact of any variances.
 - A summary of the metric the metrics monitored during the testing effort.
 - Conclusions regarding the quality and stability of the Arkansas Online Insurance Verification System.

4. GLOSSARY

AID: Arkansas Insurance Department

DFA: Arkansas Department of Finance and Administration.

PMBOK®: A Guide to the Project Management Book of Knowledge published by Project Management International (PMI). The latest edition is the 6th Edition published in 2017.

Post-Implementation Quality Checklist (PIQC): Testing conducted on the deployed Arkansas Online Insurance Verification solution to ensure that the Arkansas Online Insurance Verification solution has been correctly deployed and operates according to specified requirements.

Quality Assurance Testing (QA): Comprehensive testing conducted by operations staff to ensure that a system operates without error, accepts the expected inputs, and produces the expected outputs. Validati also calls this Level Three testing.

Security Test & Evaluation (ST&E): A comprehensive review of SIT and QA testing to ensure that all security requirements have been tested and that the Arkansas Online Insurance Verification solution developed by Validati meets all security requirements. A ST&E report will be produced.

Systems Integration Testing (SIT): Comprehensive testing conducted by technical staff to ensure that all components of a system operate correctly together. Validati also calls this Level Two testing.

User Acceptance Testing (UAT): Comprehensive testing conducted by DFA to ensure that the system delivered by Validati meets the specified requirements.

Voluntary Product Accessibility Template (VPAT®): A template published by the Information Technology Industry Council (ITI) to aid vendors in evaluating the accessibility of their product against common accessibility standards. The VPAT® used in this test plan is the Revised Section 508 Edition, Version 2.2, and July 2018.

Web Service Description Language (WSDL): An XML standard used to describe the methods implemented in a web service, and the inputs and outputs of the method.

5. DELIVERABLE SCHEDULE

5.1 Key Deliverable Dates

Table 1. Key Deliverable Dates

KEY ACTIVITY	DUE DATE	COMMENT

Arkansas Online Insurance Verification System

Validati Training Plan

January, 2019

VALIDATI[®]

Revision History

REVISION #	DATE OF RELEASE	SUMMARY OF CHANGES
Version 1	January, 2019	Initial submission to satisfy RFP requirement.

Approvals

NAME	ROLE	DATE

Table of Contents

1. INTRODUCTION..... 4
 1.1 PURPOSE 4
 1.2 SCOPE 4
2. TRAINING PLAN 5
 2.1 REQUIREMENTS 5
 2.1.1 *Section 2 – Deliverable Description* 6
 2.1.2 *Section 3 – Deliverable Acceptance Criteria* 6
3. DELIVERABLE SCHEDULE 7
 3.1 KEY DELIVERABLE DATES..... 7

1. INTRODUCTION

1.1 Purpose

Validati will maintain training plans for all participants that develop and support the Arkansas Online Insurance Verification System. These groups include:

- All DFA staff that interact with the program
- All registered Insurance Companies staff that interface with the program

1.2 Scope

The Training Plan will cover:

- navigation of the system and access
- security features and controls
- daily operational activities between all users of the system.
- procedures for uploading the self-insured insurance information
- procedures for insurance companies with less than 50 policies

All training will be offered based on the requirements of defined users and roles.

Training will be prior to the “go live” of the solution or any of its components. The training will be continuous. The training will be interactive allowing enough exposure to capably use the system and its features.

2. TRAINING PLAN

2.1 Requirements

General Training

Validati will provide live web-based training for all the State Entity users and insurance companies associated with the Arkansas Online Insurance Verification System. A recording or some version of the web-based training will be available online for the life of the contract. The General topics will include:

- Program objectives and overview
- Discussion of roles and responsibilities in the Arkansas Online Insurance Verification System
- Appropriate documentation, including User Manuals, and Business Plans
- Help Desk phone numbers and instructions for how to submit an electronic help request
- Website URLs or location information for all other online and printed resources

Job Specific Training

Specific job training is accomplished based on the user responsibilities and roles. All project participants will go through general training on the solution and supporting processes. Specific training topics include:

- i. Access to Online verification system
- ii. How to read screens
- iii. File uploads
- iv. Assigning users and roles
- v. Schedules for file submissions
- vi. Issues escalation

Training Materials

It is required that all training material will be updated for any changes in the program. This process is built into the Change Management process. In the event of any material alterations to the solution, Validati will update the training materials accordingly. The State and the Validati will mutually agree on what constitutes a “material alteration.” Validati will provide updated training materials at no additional cost to the State.

Scheduling

Validati will work out a mutually agreed schedule to accommodate the approximately 50 IT staff to be trained. Our training of the insurance companies will be part of the on-boarding process.

2.1.1 Section 2 – Deliverable Description

Validati will deliver:

- A recording of the training available online on the Validati Website
- Program User Manual (will also be made available online)
- Frequently Asked Questions (FAQ) list (will also be made available online)
- Helpline phone numbers and how to submit an electronic help request
- Website URLs or location information for all other online and printed resources
- All PowerPoint demonstrations
- Forms used to sign-off on annual training
- Job Aides for use by all the DFA State Entity users and insurance companies

2.1.2 Section 3 – Deliverable Acceptance Criteria

DFA will approve the Plan and all supporting documentation.

3. DELIVERABLE SCHEDULE

3.1 Key Deliverable Dates

Table 1. Key Deliverable Dates

KEY ACTIVITY	DUE DATE	COMMENT

Arkansas Online Insurance Verification System

Validati Business Continuity and Disaster Recovery Plan

January, 2019

VALIDATI[®]



Revision History

REVISION #	DATE OF RELEASE	SUMMARY OF CHANGES
Version 1	January, 2019	Initial submission to satisfy RFP requirement.

Table of Contents

1. INTRODUCTION..... 4

1.1 PURPOSE 4

1.2 GENERAL OVERVIEW 5

1.3 LEVELS OF BUSINESS INTERRUPTION..... 6

1.4 BUSINESS RECOVERY TEAM 8

1.5 NOTIFICATION PROCEDURES..... 9

 1.5.1 *Alert* 9

 1.5.2 *Assessment* 10

 1.5.3 *Activation* 10

1.6 BACKUP FACILITY..... 11

1.7 COMMUNICATION 11

 1.7.1 *Media Communication* 11

 1.7.2 *Client Communications* 12

 1.7.3 *Employee Communication* 12

1.8 PLAN ADMINISTRATION AND TESTING..... 13

1.9 DEACTIVATION AND POST-TRANSITION 14

2. DETAILED BUSINESS RECOVERY PLANS - ARKANSAS 19

2.1 SECTION 1 - OFFICE SERVICES COPIER 19

2.2 SECTION 2 – INDIVIDUAL PC’S AND LOCAL AND NETWORK PRINTERS..... 21

2.3 SECTION 3 – SERVERS & CONNECTION TO SERVERS..... 23

2.4 SECTION 4 – ACCESS TO THE INTERNET 27

2.5 SECTION 5 – SCANNING EQUIPMENT 29

2.6 SECTION 6 – TELEPHONE LINES & INSTRUMENTS 30

2.7 SECTION 7 – FAX 32

2.8 SECTION 8 – FOLDING MACHINE 34

2.9 SECTION 9 – XEROX PRINTER 35

3. DELIVERABLE SCHEDULE 37

3.1 KEY DELIVERABLE DATES..... 37

1. INTRODUCTION

1.1 Purpose

Validati has a business continuity and disaster recovery plan that includes the process, policies and procedures of restoring operations critical to the resumption of the system including access to data (records, hardware, software, etc.), communications (incoming, outgoing, etc.) and other business services after a natural or human-induced disaster. Validati's plan has been in practice for more than 30 years and is tested on an annual basis.

Validati establishes a cohesive relationship between its Business Continuity Plan and Disaster Recovery Plan that is often considered to be part of the larger process that is the Business Continuity Plan.

The Business Recovery Plan is designed to ensure that the critical processes of the company resume functioning as quickly as possible if an interruption occurs to the resources used in providing these functions. The Plan addresses the recovery steps necessary to restore Validati's technical environment in the event this business environment is impaired. It also addressed the steps to be taken to restore operations should the disruption affect the resources that serve this part of Validati's business.

The Plan describes the resources used by Validati for the Arkansas Online Insurance Verification System. These resources are referred to as "Business Services" and the functions as "Business Functions." Each Business Service is addressed in a separate section and the Business Functions served by the Business Service are addressed in each section.

The Plan describes the steps to:

- a. determine the cause of an interruption;
- b. assess the level of disruption as defined by the Plan;
- c. work around the interruption until the Business Service is restored;
- d. replace the Business Service if it cannot be restored.

The Plan also requires that steps be taken to ensure that interruptions can be prevented.

1.2 General Overview

Validati utilizes Agility Recovery Services as its partner in the execution of this plan. Agility Recovery specializes in providing a la carte or turnkey solutions depending on the scope of the business interruption. The scope of the service that Agility provides will focus on one of the following scenarios:

1. The need to restore power to the existing Validati facility;
2. The need to restore computing resources to the existing Validati facility;
3. The need to replace the Validati facility, computing resources and power.

Scope

The Business Recovery Plan includes the actions and procedures to recover the business functions of Validati's Administrative Functions and Systems/Operations for the Arkansas Online Insurance Verification System.

The plan below addresses the business continuity (proactive measures) and the disaster recovery (reactive measures) plans that are in place with Validati to accommodate the State of Arkansas requirements. Validati will work with State of Arkansas to establish any additional guidelines to comply with required service levels.

The plan assumes damage is localized, and does not include provisions for wide-area disasters to surrounding communities.

Plan Objectives

The Plan will be activated if any interruption lasts 15 minutes. At that time, the BRT will convene to assess the potential length of the interruption, to determine which business functions are affected, and to implement the proposed solutions for each affected function according to the level of interruption identified. This process will ensure that any outage, in which services cannot be performed, is addressed. If the outage is power related a decision to invoke the Agility generator onsite is invoked immediately. If the outage is one of replacing computer systems or the facility itself, the decision will be made to involve the Agility restoration process within 2 hours of the casualty. This will permit the arrival of the mobile solution assets.



The Plan outlines temporary measures Validati must take to restore the technical environment and resume business operations. The Plan has three specific objectives:

- a. manage the recovery operation in an organized and efficient manner;
- b. determines resource requirements to ensure the Plan's success;
- c. communicate the recovery plan with employees, vendors and clients.

In addition to the physical services provided by our partner Agility, the usage of the myAgility portal allows for the secure storage and communication platform in the event of a business continuity issue.

The portal provides a secure, online mechanism that provides:

- a. Templated Recovery Plan
- b. Alert Notification
- c. Document Management
- d. Asset Management
- e. Employee/Client Communications platform

1.3 Levels of Business Interruption

There are three levels of business interruption all of which are dictated by current Validati business needs to support our clients and internal users. The Business Recovery Team will review these levels quarterly. The Business Recovery Team will review our response to business interruption with DFA to ensure that the level of responsiveness is appropriate. Through ongoing training, each member of the professional staff will be asked to recognize these levels of interruption and notify the appropriate team members when a problem occurs.

Local management is responsible for dealing with any business interruption which results in an Interruption (as defined below). After 5 minutes of interruption, local management will be required to contact a member of the Business Recovery Team and notify them of the situation. At that time, the Business Recovery Team will assemble and complete the Alert and Assessment stage according to the Plan. Each section of the Plan documents the exact actions to take depending on the level of interruption.

The levels of business interruption are defined as follows:

- **Interruption.** An Interruption is defined as the failure of a business service, the expected duration of which will be short enough that the designated recovery solution for this service does not have to be activated. In this case, a recovery solution is identified only if the solution is readily available with no cost and minimal effort. Local management should manage an interruption, but must notify a member of the Business Recovery Team, so that the situation may be monitored and reported. Each section of the Plan defines the acceptable duration of an Interruption for the Business Service by Business Function. Normally, this duration is defined by the shortest time period for any Business Function. However, if different solutions are available for different Business Function, then the duration may vary by Business Function.
- **Disruption.** A Disruption is defined as a failure of business service, the expected duration of which is too long for the business function to operate without the service and during which time a work-around or alternative solution for the service is available. Each section of the Plan will describe the specified time for a Disruption for the business service. Normally, this duration is defined by the shortest time period for any Business Function. However, if different solutions are available for different Business Function, then the duration may vary by Business Function. In this case, the designated recovery solution or solutions as outlined in each section will be activated. A Disruption may occur because a resource is not working, or because the area of the facility which houses this resource is not available, or both. Each section of the Plan will address how to restore the service in its present location, in another designated location within the facility, or in the backup facility.
- **Disaster.** A Disaster means the failure of a business service, the expected duration of which is too long for the business function to operate without the service and for which a permanent recovery solution must be implemented. Each section of the Plan will describe the specified time for a Disaster for the business service. Normally, this duration is defined by the shortest time period for any Business Function. However, if different solutions are available for different Business Function, then the duration may vary by Business Function. As in the case of a Disruption, a Disaster may occur because a resource is not working, or because the area of the facility which houses this resource is not available. Each section of the Plan will address how to restore the service in its present location, in another designated location within the facility, or in the backup facility.

When in doubt, the Business Recovery Team will classify the business interruption at the next highest level. Alert procedures will be followed to move any interruption to the next level from an existing level.

The BRT decision on the level of the interruption will also dictate the type of response (al a carte or full) from Agility. Interruptions at the disruption level could be addressed through the addition of a generator onsite (this has a delivery SLA of 24 hours). However, a disaster would dictate a full mobile replacement with generator).

1.4 Business Recovery Team

A single Business Recovery Team administers this Plan. The Business Recovery Team is responsible for all aspects of the Plan. Each team member is assigned specific responsibilities, including the primary responsibility to monitor and maintain one or more sections of the Plan. A back-up team member is also assigned to each responsibility.

The BRT consists of the following personnel:

President, Validati	(Team Captain)
Vice President, Administrative Services	(Responsible for Operating Functions)
Vice President, Information Services	(Responsible for Technical Functions)
Senior Software Engineer	(Responsible for Technology)

The Team Captain has final responsibility to make all decisions affecting the Plan and the recovery solutions. He is responsible to ensure that the BRT and supporting teams are trained and that BCP/DRP resources are properly maintained.

The Operational Team lead is responsible to ensure that the team is staffed with members from the Arkansas Online Insurance Verification System project Team. This includes Mrs. Rasmusen, Mr. Salguero, Mr. Charles Spitalieri, and Mr Bovenzi. All members of the team will be trained and able to respond to all issues. This team lead is responsible for all employee communications made through the Agility Recovery Portal.

The Technical Team lead is responsible to ensure that the team is staffed with members from the Arkansas Online Insurance Verification System project Team. This includes Mr. Peden, Mr. Vincent Spitalieri, and Ms. Gowni. All members of the team will be trained and able to respond to all issues. The team lead is also responsible to ensure that quarterly and annual testing with Agility Recovery is scheduled, planned and conducted.

All BCP/DRP communications will be approved by the BRT captain prior to release.

Each Team Member who is assigned primary responsibility for a section of the Plan has the following responsibilities. In the event the primary team member is not available, the backup member will have responsibilities:

- **PREVENTION:** The primary and backup team members are required to meet with vendors to ensure that preventive measures are adequately maintained.

Redundancy covering each critical Business Service should be in place. Team members must regularly test the preventive steps to ensure that they are working.

- **MAINTENANCE:** The primary and backup team members are required to keep all documentation current. This includes all lists or diagrams essential to the ongoing functioning of the Business Recovery Plan. On a quarterly basis, each primary team member must submit to the Team Captain updates to each Section and a report showing that any required Preventive Tasks, Backup Tests, etc. have been completed. This report will then be reviewed by the entire BRT regarding readiness.
- **TRAINING:** The Team Captain is responsible to ensure that all members of the BRT are adequately trained. The BRT will also train all Validati employees regarding the general provisions of the Plan and how to notify a team member if an event occurs. Validati's new business checklist and project documentation require that the Plan be reviewed by the appropriate BRT members each time new business is installed or a major project is undertaken.
- **EXECUTION:** Each team member will be required to test each Plan Section according to the rules under the section titled Plan Administration and Testing. Between each test, team members should ensure that all parts of the plan are working properly by reviewing procedures periodically.

We utilize the following Agility Recovery modes of testing:

- **ReadyOffice** Full rollover to an Agility recovery environment (annual test)
- **TableTop** Traditional roll and scenario based plan execution (quarterly tests)

1.5 Notification Procedures

1.5.1 Alert

Any Salary Grade IIA and above employee who is aware of a disruption in a Business Service should notify the primary team member for that Business Service within 5 minutes after a business interruption has occurred. The notification may also originate from the Systems Management on call personnel if the incident occurs after normal working hours or on a weekend. This stage is known as the preliminary alert. At this point, the primary team member and local management will determine whether or not the problem can be solved without the assessment of the entire BRT within the time duration for an Interruption as defined for that Service. If it can, the primary team member should complete an Alert Notification Form, indicating the resolution, and forward it to the Team Captain. In the event the interruption becomes a Disruption, the primary team member will notify the Team Captain via an Alert Form, and the entire BRT will be notified. In the event that the incident is occurring after normal work hours or on

the weekend, the primary team member will notify the other BRP team members via SMS text, email, or phone call.

1.5.2 Assessment

The primary team member will first perform a physical inspection of the incident, if appropriate. The primary team member will continue to follow up with the Team Captain until an accurate assessment can be made. At the time an assessment can be made, a General Assessment Form - along with the particular Section assessment form - is to be completed. As this time, the Team Captain, after consultation with the primary team member and other team members, will determine the level of the interruption and communicate this to the primary team member. The primary team member will continue to update assessment reports as the condition changes and/or every four hours to communicate current situations. If information of a critical nature needs to be transmitted, phone calls should be used with the report to follow within one hour of the conversation. The entire BRT must stay by their home or cellular telephones if the facility is not accessible during the assessment period.

1.5.3 Activation

The Team Captain and primary team member will review each action step required and determine if other members of the BRT (or other employees) should participate in the recovery. The primary team member will be responsible for coordinating the activities of the other participants. In the event changes are needed to the documented action steps, the primary team member will notify the Team Captain via an assessment report, and review these changes with the Team Captain before implementation. In the event of an emergency, the primary team member may activate the steps without consulting the Team Captain.

The primary team member will arrange to meet with other participants and assign responsibilities and action steps. The primary team member will continue to use the General Assessment Form as the situation calls for it, until the interruption is remedied. Once normal conditions are restored, the primary team member is required to complete the Business Interruption Report.

If any level of business interruption occurs and will likely continue through a weekend, the requirements of the Business Recovery Plan remain in effect. Each primary or backup team member, as appropriate, is responsible to monitor the situation and report to the Team Captain according to the Plan over the weekend. In this situation, prior to the close of business on Friday, each primary team member must establish a communication protocol with the Team Captain for how General or Detailed Assessment Forms will be filed during the weekend. Acceptable methods of communication include phone call updates, emails, faxes and, if required, or periodic meetings at the Validati facility, the backup facility or an alternative site.

If any level of business interruption occurs on a weekend, the Business Recovery Plan also remains in effect. The appropriate primary team member will activate the plan by calling the Team Captain or backup. The Team Captain will then establish a

communication protocol for monitoring the situation and preparing, submitting and updating the General and Detailed Assessment Forms. The components of the Agility Recovery (generator only or full mobile replacement) are identified. The Agility portal will be utilized to manage team communications, using its capabilities to send SMS text. This portal will also be the central repository of all documentation related to the incident.

1.6 Backup Facility

The backup facility provided by Agility Recovery, is called a mobile recovery solution. It provides for the following assets:

- Physical office space and associated desks
- PCs
- Printer/fax
- Servers
- Communications router (4G interface)
- 110kv Diesel Generator

The mobile recovery will be deployed (depending upon the severity of the interruption) to the current Validati Operations Center (5600 Hudson Industrial Parkway). Agility and the landlord will coordinate the placement and the integration of the generator upon arrival.

Validati will be able to restore the data from UniTrends 2TB Drives from the backup storage site to the servers contained in the mobile recovery solution. Validati technical personnel will oversee and complete the rebuild of the servers, using data from the Unitrends drives. Validati forms, manuals and important documents will be retrieved from the Agility Portal secure storage area.

1.7 Communication

1.7.1 Media Communication

The BRT will determine if the media should be notified. The BRT will draft the exact contents of the press release. The announcement will direct employees to either report to the building for further instructions or to an alternate site if the building is not accessible. The press release is also intended to direct vendors and other parties on how to proceed in dealing with Validati. A member of the BRT will contact the designated media representatives, and announce that the disaster has occurred, and read or request permission to fax the press release.

1.7.2 Client Communications

The BRT will notify the DFA within 15 minutes of a BCP/DRP event. The notification will be sent to all parties that DFA requests. Subsequent updates will continue every two hours until a full return to normal production processing has been completed. All Validati communications will be sent by the Project Manager (during construction) or by the Account Manager (after implementation). DFA will be notified by phone and/or email to discuss the following:

- Length of service interruption;
- Measures currently taken;
- Measures to be taken;
- Estimated remaining duration;
- Changes to ongoing services.

1.7.3 Employee Communication

The BRT will control all employee communications. The BRT will determine which team members will contact employees, and the information to be provided. The following guidelines will be generally followed:

- All Salary Personnel will be instructed to meet prior to meetings with the hourly employees to coordinate communications. At this time, Salary Personnel will be solicited for any appointments that will need to be canceled due to the disaster.
- Initial employee communications will originate from the Agility Portal, in the form of an SMS text message. The message will provide the employee with the notification of an issue, and provide next step directions.
- Employees may be assembled and given written handouts detailing the effect that any damage or disaster will have on his or her continued employment.
- If the BRT determines that it is necessary, each employee will also be mailed instructions detailing the effect the disaster will have on his or her continued employment. This mailing will also be hand distributed at the communication meeting held in person.

1.8 Plan Administration and Testing

The Business Recovery Plan must ensure that we maintain a constant state of recovery readiness. The Plan will be modified to address changes in technology, personnel, or business operations within Validati. While each Validati employee will not be accountable for the actual recovery plan, all employees must be aware of their respective actions in the case of an interruption.

Through maintenance of the Plan documentation, education of employees, and periodic testing, the Plan will be kept current. The plan will be reviewed (no less) than on an annual basis, by the Business Recovery Team (BRT). Any changes from the annual review will be disseminated by the BRT to the appropriate personnel in formalized training sessions.

The Validati plan meets NIST (National Institute of Standards and Technology) standards for disaster recovery and contingency planning. Validati will further test this plan by doing a complete fail over of all test/production systems during the final testing stage and after initial rollout. This plan will be tested on an annual basis for the duration of the contract.

The Validati Account Manager will be responsible to coordinate the BCP/DRP test after the Go Live of the system, with DFA OIS Risk Management Office.

The State of Arkansas will evaluate the capability of the Disaster Recovery System to replicate all vehicle registration forms and functions available to agency users in the system being tested without any degradation of service.

Validati will ensure that any changes made to the production environment will be replicated in the Disaster Recovery environment. This will be verified in testing.

The State shall have the right to request that Validati completely fail over all test/production systems to the Disaster Recovery systems without advance notice.

The BRT is responsible to keep the Plan current and to ensure that all employees are aware of the basic provisions of the Plan and how to notify a team member if an event occurs. Each new salary employee will become familiar with our Business Recovery Plan through an introduction at Salary Orientation. Each primary and secondary team member is responsible to review his section of the Plan document at least quarterly, to implement the preventive measures as required by the Plan and ensure that all fellow team members are trained (and if appropriate cross-trained) to ensure team responsiveness is maintained at a high level. Documentation will be kept current through our ongoing testing and revisions submitted by team leaders. Each primary team member must submit a list of all preventive measures taken quarterly.



Table top testing will simulate occurrences requiring the BRT to document all activities. Each Team Captain will ensure that each plan participant understands their respective role as well as check for the facility's readiness.

A testing of the Plan will be scheduled and conducted by the BRT. These tests will need to be coordinated with Agility Recovery and will consist of quarterly table top, scenario testing and annual full rollover testing.

A critical element of the BRP is to ensure that adequate and complete backups exist and that the archiving and rotation of offsite media is completed on a regular basis. Technical audits are in place to periodically validate the backup, archive and rotation procedures.

Validati will ensure that the Online Insurance Verification System frequently and automatically backs up data for BCP/DRP purposes. All backup servers and backup data associated with the Arkansas instance of the Validati-hosted solution must reside in the continental United States and Validati will include data back-up provisions adhering to the following requirements:

1. The System must backup and completely restore key system data files. Backup media should be common media readable by readily available hardware.
2. If access to backed-up information depends on Validati-owned hardware that is scheduled for discontinuation or prolonged downtimes, or if for any other reason we believe that the hardware or software may inhibit the State's access to backed up information at any point in time, Validati will immediately notify and present a remedy in writing to the State Project Manager. Validati and the State Project Manager must mutually agree upon the solution.

1.9 Deactivation and Post-Transition

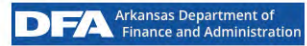
The BRT will make the determination if the BCP/DRP event has been concluded and that all production services may be returned to the primary environments. Information from Agility Recovery will be obtained to confirm that duration of the roll back.

Once the BRT has this information, DFA will be notified of the event restoration. Validati will request permission to move back to production based on a detailed schedule of services over a pre-determined timeframe. All attempts will be made to ensure that the roll back does not impact State operations. A full post event report will be created by the BRT and submitted to DFA for review.

At the end of the Arkansas Online Insurance Verification System contract, Validati will submit a plan to DFA for review, approval and execution that will result in the transfer of all State owned data on the system back to the State of Arkansas, or, to a subsequent vendor. The format and delivery method for this turnover will be specified in the plan and approved by DFA.



At the end of the contract period, or at any time a hard drive is removed from use within the scope of this contract, Validati will erase, destroy, and render unrecoverable all data and certify in writing that these actions have been completed within thirty (30) days of the termination of this agreement or within 7 days of the request by the State, whichever shall come first. At a minimum, a "Clear" media sanitization shall be performed according to the standards enumerated by the National Institute of Standards, Guidelines for Media Sanitization, SP800-88, Appendix A - see <http://csrc.nist.gov/>.



ALERT NOTIFICATION FORM

Name of Person Completing this form: _____

Date: ___/___/___ Time: ___:___ AM/PM

- 1. Life threatening situation: Yes___ No___
- 2. Landlord notified: Yes___ No___
- 3. Fire Department Notified: Yes___ No___
- 4. Police Department Notified: Yes ___ No ___
- 5. BRT Captain or Alternative Notified.

Name: _____ Time: ___:___ AM/PM

6. Description of Incident:



BUSINESS INTERRUPTION FORM

Name of Person Completing this form: _____

Date: ___/___/___ Time: ___:___ AM/PM

1. Brief Description of Incident

2. Description of why the incident occurred

3. Comments on steps taken to complete recovery

4. Recommended changes to Business Recovery Plan

2. DETAILED BUSINESS RECOVERY PLANS - ARKANSAS

2.1 Section 1 - Office Services Copier

Service Description

Validati utilizes copying from the Konica Minolta Bizhub 363 Copy, Print, Scan and Fax) equipment provided by Pacific Automation. Pacific Automation is responsible for all maintenance and warranty work on the equipment. The software is supported internally.

Preventive Measures

The following steps should be taken to ensure no interruption in service:

- Perform routine maintenance according to the pre-set schedule.

Disaster Phases

- **Interruption.** An Interruption is defined as any loss of service for up to 4 hours.
 - During an Interruption, the following steps should be taken:
 - i. Identify the problem and contact the vendor for repairs or replacement.
 - ii. Hold large copying jobs.
- **Disruption.** A Disruption is defined as any loss of service for more than 4 hours but less than 12 hours.
 - During a Disruption, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement
 - ii. Continue to follow the Interruption steps above concerning small copier jobs.
 - iii. Continue to hold large copying jobs, or, if an emergency, use an outside copying company.
- **Disaster.** A Disaster is defined as any loss of service for more than 24 hours.
 - During a Disaster, the following steps should be taken:



- i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
- ii. If the copier has been destroyed, obtain a price quote for replacement.
- iii. Continue to follow the Interruption steps above concerning small copier jobs.
- iv. Continue to hold large copying jobs, or, if an emergency, use an outside copying company.

2.2 Section 2 – Individual PC’s and Local and Network Printers

Service Description

Personal Computers and printers are used in all aspects of Validati business operations. A variety of PC’s are in use. The manufacturer and model of each PC is listed on a document that is in the possession of the Validati President and Vice President, Information Services. This document also indicates whether any PC is currently under any manufacturer or extended warranty or service contract. There are two additional documents, also in their possession, which list the software installed on the PC’s and Servers. PC’s are used for all document and telephone processing, for auditing and quality assurance, and for all administrative support for the system. A network printer, fax and copier are used for all internal purposes.

Preventive Measures

The following steps should be taken to ensure no interruption in service:

- Maintain alternative PC’s on the production floor to ensure that backup PC’s are immediately available
- Regularly rotate operational employees to the alternative PC’s to ensure that all PC’s are properly configured and functioning properly.
- Ensure that all employees restart their PC when leaving at the end of each work day.
- Test backup procedures for network and local drives and restore data periodically to ensure that backups are being performed properly.

Disaster Phases.

- **Interruption.** An Interruption is defined as any loss of service for up to 4 hours.
 - During an Interruption, the following steps should be taken:
 - i. Attempt to identify the problem and reboot the PC.
 - ii. Have the employee log to an alternative PC.
- **Disruption.** A Disruption is defined as any loss of service for more than 4 hours but less than 12 hours.
 - During a Disruption, the following steps should be taken:

- i. If not done previously, identify the problem and reboot the PC.
 - ii. Determine if the PC can be repaired and contact the local managed services provider to obtain a quote to do the repair. Then, do a cost analysis to determine if the PC should be repaired or discarded.
 - iii. Have the employee log on to an alternative PC.
- **Disaster.** A Disaster is defined as any loss of service for more than 24 hours.
 - During a Disaster, the following steps should be taken:
 - i. If not done previously, identify the problem and reboot the PC.
 - ii. Determine if the PC can be repaired and obtain a quote to do the repair. Then, do a cost analysis to determine if the PC should be repaired or discarded.
 - iii. Determine if a new PC should be purchased.
 - iv. If access to all PC's to do business is unavailable, activate the Agility Recovery replacement. If utilities and other services are available to the Hudson facility, then no consideration should be made to use the Agility generator option. The Agility Recovery Unit has the necessary Office Space, Computer Systems (PCs and servers) and Network Recovery components built into it. Data backup media will have to be brought from secure offsite storage to the Recovery Unit to build the servers and restore the data needed for operations to commence.

2.3 Section 3 – Servers & Connection to Servers

Service Description

Validati utilizes various Servers to house the applications of products that are run from the client PC's. The manufacturer and model of each server, as well as the software installed on each server is documented here:

- \\hudson\pasco\Techmngnt\DocumentStore\Spreadsheets\Server Diagrams.

The PC's are connected to the server via local area network. Validati utilizes an in-house backup solution using UniTrends 4 Bay Removable disk backup appliance. UniTrends backup agents are used to back up the data to the 2TB removable drives. The 2TB removable drives will be swapped every Wednesday before 5 PM. The Wednesday Drive will be swapped out and taken off site. These drives will serve as the source for data in a disaster recovery situation and for archival of data. Validati also utilizes 3 servers provided by Noble Systems Corporation (NSC) as part of the IP PBX and Predictive Dialer functionality. The NSC servers are supported via a maintenance contract with NSC. A break/fix contract with Park Place International has been put in place to ensure that the mission critical servers are under a 24x7 period maintenance with 4 hour response time.

Preventive Measures

The following steps should be taken to ensure no interruption in service:

- Keep break fix contract in force for the servers
- Ensure systems are regularly purged and backed up.
- Regularly conduct tests of the in-house backup service using UniTrend software on local and backup storage site drives.

Disaster Phases

- **Interruption.** An Interruption is defined as any loss of service for up to 4 hours.
 - During an Interruption, the following steps should be taken:
 - i. Identify the problem and contact the vendor for repairs or replacement.
 - ii. If the problem is with the NSC servers, confirm that the Guardian software and notify the NSC support staff.
 - iii. If the problem is with server hardware, contact Park Place International (Break Fix Vendor) to fix the issue

- iv. Identify if the problem is with the server or the connection (Router).
 - v. Re-boot the applicable systems to see if connection is restored or the server comes back-up.
 - vi. Move the affected services to one of the backup servers maintained as part of the redundant computer network.
 - vii. Continue to try to determine the cause of the problem.
 - viii. If the problem has caused a loss of data, use UniTrend software to restore the data from local drives.
- **Disruption.** A Disruption is defined as any loss of service for more than 4 hours but less than 12 hours.
 - During a Disruption, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
 - ii. If the problem is with the NSC servers, confirm that the Guardian software has notified the NSC support staff.
 - iii. If the problem is with server hardware, contact Park Place International (Break Fix Vendor) to fix the issue
 - iv. Continue to follow the Interruption steps above.
 - v. Identify if the problem is with the server or a connection (Router).
 - vi. Move the affected services to one of the backup servers maintained as part of the redundant computer network.
 - vii. If connection issue, determine what hardware needs to be replaced.
 - viii. Purchase new Routers from local resellers or managed service providers (MSPs.)
 - ix. Install new device.
 - x. Determine if database and application can be moved to another server. If so, install back-up tape and install. All batch process that have been performed since the last

backup will need to be performed again in the order and method previously performed.

- xi. If all servers are down, install the back-up server.
 - xii. Process all pended work.
 - xiii. Retain all documents to be scanned. If the server on which the images are stored is inoperative and the backup is used, all documents scanned since the last backup will need to be retained also.
 - xiv. Pull all processed work from the time of the last back-up; Pend until system is up and running
 - xv. If necessary, re-scan all documents scanned since the last backup.
 - xvi. If necessary and possible, resubmit Faxes and emails processed since the last backup.
 - xvii. Pull all processed work from the time of the last backup; Pend until system is up and running.
 - xviii. Contact the support team of Accuzip and reinstall the software on the backup server
- **Disaster.** A Disaster is defined as any loss of service for more than 24 hours.
 - During a Disaster, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
 - ii. If the problem is with the NSC servers, confirm that the Guardian software has notified the NSC support staff.
 - iii. If the problem is with server hardware, contact Park Place International (Break Fix Vendor) to fix the issue
 - iv. If the problem has caused a loss of data, use the UniTrend software on to restore the backups from the drives stored in the backup storage site
 - v. If using the back-up server or if moved to another available server, determine if current server can be fixed or must be replaced.



- vi. Determine new configuration, select correct back-up and install back-up and all necessary operating systems and software.
- vii. If access to all Servers, facility or power are enough to result in a significant impact on Validati's ability to do business is unavailable, activate the Agility Recovery replacement. If utilities and other services are available to the Hudson facility, then no consideration should be made to use the Agility generator option. However, if utilities are not available then deployment of the Agility generator, along with the Agility Recovery Unit will be requested. The Agility Recovery Unit has the necessary Office Space, Computer Systems (PCs and servers) and Network Recovery components built into it. Data backup media will have to be brought from secure offsite storage to the Recovery Unit to build the servers and restore the data needed for operations to commence.
- viii. If decision is to use back-up server, identify new back-up device in case of future BRP issues.

2.4 Section 4 – Access to the Internet

Service Description

Validati utilizes EIA (Ethernet Internet Access) provided by Fusion with contact/support administration provided by US Networks for telecommunication, Internet Access and data transmission. EIA lines are terminated in the Hudson facility, which in turn links to a router managed by Fusion. The Internet is used to receive and send files on a routine basis to our clients and vendors. It is also used for administrative purposes.

Preventive Measures

- Keep the contract with US Networks (Fusion) in force.
- Maintain a listing of personal Internet email accounts that we can use.
- Verify on a regular basis that the Arkansas Online Insurance Verification System from outside the network.

Disaster Phases

- **Interruption.** An Interruption is defined as any loss of service for up to 4 hours.
 - During an Interruption, the following steps should be taken:
 - i. Contact US Networks to determine if the problem is with Fusion.
 - ii. Identify the problem and contact the vendor for repairs or replacement of internal equipment.
 - iii. Double-check the firewall and the ADTRAN router. These may have to be reset.
 - iv. Contact all employees informing them that the Internet is not in service.
- **Disruption.** A Disruption is defined as any loss of service for more than 4 hours but less than 12 hours.
 - During a Disruption, the following steps should be taken:
 - i. If not done previously, identify the problem and contact US Networks or Lobo or the MSP r for repairs or replacement.
 - ii. Continue to follow the Interruption steps above.
 - iii. If the router is not working; purchase new one and install.

- **Disaster.** A Disaster is defined as any loss of service for more than 24 hours.
 - During a Disaster, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
 - ii. Contact vendors or modify addresses to ensure files are correctly sent and received.

2.5 Section 5 – Scanning Equipment

Service Description

Validati utilizes scanning (Konica Minolta Bizhub 363 Copy, Print, Scan and Fax) equipment provided by Pacific Automation. Pacific Automation is responsible for all maintenance and warranty work on the equipment. The software is supported internally. The scanning equipment is used to scan certain insurance documents received from constituents. Scanned images are maintained on the Image server as part of the network and can be restored using the procedures described above.

Preventive Measures

The following steps should be taken to ensure no interruption in service:

- Perform routine maintenance on the equipment per the manufacturer's recommendation.
- Use of back up scanner
- Maintain the service contract with the equipment vendor.

Disaster Phases

- **Interruption.** An Interruption is defined as any loss of service up to 4 hours.
 - During an Interruption, the following steps should be taken:
 - i. Identify the problem and contact the vendor for service.
 - ii. Hold paper documents to be imaged/scanned at later time.
- **Disruption.** A Disruption is defined as any loss of service for more than 4 hours, but less than 12 hours.
 - During a Disruption, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
 - ii. Continue to follow the Interruption steps above.
- **Disaster.** A Disaster is defined as any loss of service for more than 24 hours.
 - During a Disaster, the following steps should be taken:

- i. If not done previously, identify the problem and contact the vendor for repairs or replacement.

2.6 Section 6 – Telephone Lines & Instruments

Service Description

Validati utilizes an IP PBX solution provided by Noble Systems Corporation. The physical phones are of three types: 1. Integrated software soft phone with the Noble Software Suite; 2. Stand- alone software soft phone with the Noble software suite; 3. Polycom Soundpoint IP 550 telephones. Fusion is the Long Distance, DID Lines and data provider. Software contained in the Harmony Module of the NSC solution produces all the telephony reports.

Preventive Measures

The following steps should be taken to ensure no interruption in service:

- Keep the existing contract with NSC for both hardware and software in force.
- Spare telephone instruments and headsets will be kept on hand.

Disaster Phases

- **Interruption.** An Interruption is defined as any loss of service for up to 4 hours.
 - During an Interruption, the following steps should be taken:
 - ii. Identify the problem and contact the vendor for repairs or replacement.
 - iii. Determine if switch needs to re-booted
 - iv. Determine if phone instrument is bad – install back-up or move to an available seat with an operating phone instrument.
- **Disruption.** A Disruption is defined as any loss of service for more than 4 hours but less than 12 hours.
 - During a Disruption, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
 - ii. Continue to follow the Interruption steps above.

- iii. Re-point SIP and IP PBX lines to the 5 Fusion backup circuits for inbound call (will involve US Networks to coordinate).
- **Disaster.** The Disaster is defined as any loss of service for more than 24 hours.
 - During a Disaster, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
 - ii. If access to all network components, facility or power are enough to result in a significant impact on Validati's ability to do business is unavailable, activate the Agility Recovery replacement. If utilities and other services are available to the Hudson facility, then no consideration should be made to use the Agility generator option. However, if utilities are not available then deployment of the Agility generator, along with the Agility Recovery Unit will be requested. The Agility Recovery Unit has the necessary Office Space, Computer Systems (PCs, servers, LG4 connectivity) and Network Recovery components built into it. Data backup media will be brought from secure offsite storage to the Recovery Unit to build the servers and restore the data needed for operations to resume. Re-point SIP and IP PBX lines to the 5 Fusion backup circuit (will involve US Networks to coordinate Set-up forward for local lines

2.7 Section 7 – Fax

Service Description

The fax (Konica Minolta Bizhub 363 Copy, Print, Scan and Fax) is leased from Pacific Office Automation. Pacific Office Automation provides all maintenance on the equipment. The fax equipment is used for receipt of faxes from constituents and for sending faxes.

Preventive Measures

The following steps should be taken to ensure no interruption in service:

- Have Pacific Office Automation perform routine maintenance according to the pre-set schedule.

Disaster Phases

- **Interruption.** An Interruption is defined as any loss of service for up to 4 hours.
 - During an Interruption, the following steps should be taken:
 - i. Identify the problem and contact the vendor for repairs or replacement.
 - ii. Check if fax machine is running improperly, reset if necessary.
- **Disruption.** A Disruption is defined as any loss of service for more than 4 hours but less than 12 hours.
 - During a Disruption, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
 - ii. Continue to follow the Interruption steps above.
 - iii. Determine if new software is required and reinstall if necessary.
 - iv. Determine if replacement printer is required.
- **Disaster.** A Disaster is defined as any loss of service for more than 24 hours.
 - During a Disaster, the following steps should be taken:



- i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
- ii. Re-direct faxes to another office

2.8 Section 8 – Folding Machine

Service Description

Validati utilizes one Folding Machines supplied by Neopost. A Neopost Si78 folding machine with three stations and a business reply feeder. The folding machines are owned by Validati and serviced/maintained by Intelligent Mailing Solutions. The Folding Machine is used for fulfillment for the notices printed by Validati.

Preventive Measures

The following steps should be taken to ensure no interruption in service:

- Have Intelligent Mailing Solutions perform routine maintenance as needed or upon request.
- Regularly clean equipment according to Intelligent Mailing Solutions' suggested maintenance.

Disaster Phases

- **Interruption.** An Interruption is defined as any loss of service for up to 4 hours.
 - During an Interruption, the following steps should be taken:
 - i. Identify the problem and contact the vendor for repairs or replacement.
 - ii. Fold letters by hand
- **Disruption.** A disruption is defined as any loss of service for more than 4 hours, but less than 12 hours.
 - During a Disruption, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement
- **Disaster.** A Disaster is defined as any loss of service for more than 24 hours.
 - During a Disaster, the following steps should be taken:
 - ii. If not done previously, identify the problem and contact the vendor for repairs or replacement.

- iii. If the Folding Machine has been destroyed, obtain a price quote for replacement.

2.9 Section 9 – Xerox Printer

Service Description

Validati uses a Xerox D110 25 printer for large print jobs. The Xerox is managed by software provided by the vendor utilizing the Sun Station technology. Documents can be printed duplex or simplex. The printer is leased through a contract with ComDoc. ComDoc provides all service on the machine and guarantees response in three business hours. The Xerox is utilized to print notices by Validati.

Preventive Measures

The following steps should be taken to ensure no interruption in service:

- Have ComDoc perform routine maintenance according to the pre-set schedule.
- Regularly test the use of other network printers to print letters and reports.

Disaster Phases

- **Interruption.** An Interruption is defined as any loss of service for up to 4 hours.
 - During an Interruption, the following steps should be taken:
 - i. Identify the problem and contact the vendor for repairs or replacement.
 - ii. Hold printing of jobs.
 - iii. Print jobs on other network printers.
- **Disruption.** A disruption is defined as any loss of service for more than 4 hours, but less than 12 hours.
 - During a Disruption, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
 - ii. Print jobs on other network printers.



- **Disaster.** A Disaster is defined as any loss of service for more than 24 hours.
 - During a Disaster, the following steps should be taken:
 - i. If not done previously, identify the problem and contact the vendor for repairs or replacement.
 - ii. Print jobs on other network printers.



3. DELIVERABLE SCHEDULE

3.1 Key Deliverable Dates

Table 1. Key Deliverable Dates

KEY ACTIVITY	DUE DATE	COMMENT

Arkansas Online Insurance Verification System

Validati Data Security Plan

January, 2019

VALIDATI[®]

Revision History

REVISION #	DATE OF RELEASE	SUMMARY OF CHANGES
Version 1	January, 2019	Initial submission to satisfy RFP requirement.

Approvals

NAME	ROLE	DATE

Table of Contents

1. INTRODUCTION.....	4
1.1 PURPOSE	4
1.2 SCOPE	4
1.3 ROLES AND RESPONSIBILITIES.....	5
1.4 REQUIREMENTS FOR ARKANSAS ONLINE INSURANCE VERIFICATION SYSTEM.....	9
2. SECURITY POLICIES	10
2.1 PASSWORD MANAGEMENT	10
2.2 WIRELESS COMMUNICATION.....	10
2.3 REMOTE ACCESS POLICY.....	11
2.4 PHYSICAL ACCESS CONTROLS.....	12
2.5 AUDITING POLICY – SECURITY EVENTS, ADMINISTRATIVE/PRIVILEGED ACTIONS AND MANAGEMENT CONTROLS.....	14
2.6 CONFIGURATION, VERSION CONTROL AND PATCH MANAGEMENT	15
2.7 MEDIA PROTECTION, SANITATION AND RELEASE POLICY.....	17
2.8 ACCESS POLICY.....	18
2.9 DISCLOSURE.....	19
2.10 AUDIT AND ACTIVITY LOGS	20
2.11 INTRUSION DETECTION AND AUTHENTICATION	21
2.12 INCIDENT HANDLING.....	22
2.13 CONTINGENCY PLANNING.....	23
2.14 SCANNING AND MONITORING	23
3. DELIVERABLE SCHEDULE.....	26
3.1 KEY DELIVERABLE DATES.....	26

1. INTRODUCTION

1.1 Purpose

The Validati Security Plan has established controls for protection of the technology resources required for the State of Arkansas by assigning program management responsibilities and providing basic rules, guidelines, and definitions on the manner in which these controls should operate. The plan prevents inconsistencies that can introduce risks and serves as a basis for the enforcement of more detailed rules and procedures.

The objective of this manual is to identify the policies that Validati will adhere to for the Arkansas Online Insurance Verification System technology, located in the Hudson Ohio facility.

The purpose of the Security Plan is to safeguard the confidentiality, integrity and availability of the State of Arkansas Online Insurance Verification System's information and systems components. In compliance with FIPS 199 definitions and the State's shared Technical Architecture Program these terms are defined as follows:

- I. Confidentiality - Ensuring that information and processing capability are protected from unauthorized use or disclosure.
- II. Integrity – Ensuring that information stored on systems is not subject to malicious or accidental alteration and that system processes function correctly and reliably.
- III. Availability - Ensuring that information systems are available to authorized users when needed.

1.2 Scope

The Arkansas Online Insurance Verification System Security plan applies to all management, users, system owners / managers, system maintainers, system developers, operators and administrators, of information systems, facilities, communications networks and information. This plan applies to all information collected or maintained by Validati and all information systems used or operated by Validati that interact with system from the State of Arkansas and the Insurance companies participating in the program. This includes the development, test and production areas located in the Validati Hudson, Ohio location. The policies identified in this manual do not replace or supersede any Arkansas Department of Finance and Administration (DFA) security policies or procedures.

1.3 Roles and Responsibilities

The Validati security team is led by senior Validati Management, consisting of the Information Security Officer (ISO), the President of Validati, the Validati Vice President of Information Services and designated Validati network management personnel.

Validati will provide DFA with the ISO contact information who will serve as the State's primary security contact and be available to assist the State twenty-four (24) hours per day, seven (7) days per week in resolving obligations associated with a Security Breach. The ISO will provide a detailed explanation of the breach and its impact. The ISO will provide a detailed resolution so that the breach will not be repeated.

Validati will generate automated notifications within the solution that will be sent out to the Security Team and State Resources in the event of a breach. These notifications will be generated when the following breach or suspected breach events occur:

- Unauthorized access to the web portal by an account not authorized for access
- Unauthorized attempt to deliver file payloads via the secure transfer process, for an authorized user
- Unauthorized attempts to access the Online Verification or file transfer by undocumented IP addresses
- Unauthorized database activities
- Excessive attempts to insert, modify or delete database records
- Multiple login attempts on an account that has been locked or disabled

Validati will notify the State of a security breach or any attempt to gain access to the system as soon as practicable, but no later than four (4) hours after the event is identified. The ISO will provide a detailed explanation of the breach and the impact of the breach. The ISO will also provide a detailed resolution so that the breach will not be repeated

The information security team (IST) has three areas of responsibilities:

- **Plan development** - Focused on establishing, reviewing and communicating security policies. Meetings are held to review changes/updates to all of the security policies. Additionally, these meetings identify any NIST standard updates or bulletins that impact any security policy.
- **Practice**- The stage during which the security team conducts the risk analysis, the approval of security change requests, reviews security alerts, and turns security policy requirements into change management requests. Quarterly, personnel categorizations and personnel transfers are reviewed by management to assure quality of the security controls.
- **Response** - While network monitoring often identifies a security violation, it is the security team members who perform troubleshooting and (in the case of the Ohio datacenter) fixing of such a violation. Each security team member will know in detail the security features provided by the equipment in his or her operational area.

The security team fulfills the following roles:

Security Compliance

The President, Validati and the ISO are responsible for overseeing the security policy. The ISO also has ultimate responsibility for ensuring that the objectives of the security policy and individual responsibilities are clearly communicated to all users and followed. Specific responsibilities include:

- A. Ensuring that the Security Team technical personnel effectively analyze potential security risks in order to formulate an appropriate security policy. These risks are quantified in a Risk Management plan specific for the Arkansas Online Insurance Verification System which will be created as part of the project development process. Specific focus points of the plan will include:
 - identifying the assets to be protected
 - assessing potential vulnerabilities
 - analyzing the risk of exploitation
 - implementing cost-effective safeguards
- B. Ensuring that all security training is completed by users before access to system is enabled. The training must focus on:
 - appropriate use of the network
 - awareness of the possible effects of misuse or unauthorized use
 - Consequences of any unauthorized use.
- C. Ensuring employees understand the danger of malicious software and the technical controls used to protect against it.
- D. Ensuring that only approved Project Team members are authorized to access the dedicated Arkansas VLAN, installed applications, and data.
- E. Ensure all the alerts are setup properly to recognize events that require action and systems components. In compliance with FIPS 199 definitions and the State's shared Technical Architecture Program these terms are defined as follows:
 - Confidentiality - Ensuring that information and processing capability are protected from unauthorized use or disclosure.
 - Integrity – Ensuring that information stored on systems is not subject to malicious or accidental alteration and that system processes function correctly and reliably.
 - Availability - Ensuring that information systems are available to authorized users when needed.

ISO will ensure that all the change requests follow the DFA and Validati Change Management plans.

Technical Management

The Vice President, Information Services and designated network management personnel ensure the continued operation of the network and are responsible for implementing network security measures as indicated in this security policy. The Technology Team is responsible for the following:

- Rigorously applying available security measures enforcing local security policies.
- Advising management on the effectiveness of the existing policies and technical considerations that improve practices.
- Securing the local network and its borders with the outside network.
- Responding to security breaches or violations in a timely and effective manner, including notification to all parties
- Configuring audit logs and using network monitoring tools to aid in the detection of security violations.
- Conducting reviews and audits of logs. Logs to be reviewed are both network and host-based logs. These reviews to be performed on a routine basis and meet the following conditions:
 - Logs are to be reviewed on a central server (SYSLOG).
 - When logs are reviewed, typical connection information will to be examined so that anomalies are identifiable and examined in depth.
 - Typical volumes of network activity will be observed, so that atypically high activity is noticeable. This can be observed in the number of line items per log, and the size of the log (which is rotated weekly).

Any anomalies in connection attempts or increases in network traffic are reported to the ISO.

- Additionally, the team will:
 - Remain informed on outside policies and recommended practices and when appropriate, informing library management of new developments.
 - Provide assistance in tracking the source of malicious software or computer viruses and determining the extent of contamination.
 - Manage all approved user access privileges to data and programs by defining user roles with specific access privileges.

- Monitor security-related events and following up on any actual or suspected violations.
- Maintain and protect server software, files, and media using specified security mechanisms and procedures.
- Oversee the update of security systems, anti-virus signatures, processes and protocols as needed to maintain a secure environment.
- Assign a unique USERID and initial password to new users according to the Security Policies section of this document.
- Back up all data on network servers and workstations.
- Ensure that each interaction in the application requires identification of the user and the time of the interaction.
- Ensure that audit logs are created in each application for both successful and unsuccessful execution of application functions. Logs also include the user information of the account creating the activity.
- Monitor the information systems maintenance tools and diagnostic activities to suggest changes.

1.4 Requirements for Arkansas Online Insurance Verification System

Any data located on servers must be physically and virtually secure from any unauthorized access using the strictest of accepted principles adhering to the International Information Systems Security Certification Consortium ((ISC)²) body of knowledge.

Vendors or Validati personnel that are not involved in the development or operation of the System will not be allowed information relating to statistics or demographics of the State of Arkansas.

At the end of the contract period, or at any time a hard drive is removed from use within the scope of this contract, Validati will erase, destroy, and render unrecoverable all data and certify in writing that these actions have been completed within thirty (30) days of the termination of this agreement or within 7 days of the request by the State, whichever shall come first. At a minimum, a "Clear" media sanitization shall be performed according to the standards enumerated by the National Institute of Standards, Guidelines for Media Sanitization, SP800-88, Appendix A - see <http://csrc.nist.gov/>.

The Arkansas Online Insurance Verification System (software and hardware) must not store any personally identifiable Arkansas citizen's information for any time longer than required by Arkansas State Law and the requirements of this RFP.

Validati will ensure all logs are encrypted using AES-256.

Validati will ensure all data being transmitted is encrypted and all stored data is encrypted at rest. Encrypting must be done with AES-256.

Validati will ensure the system has role-based access levels for authorized Users.

Validati will ensure DFA as the final authority to grant access to any user from other State Entities.

Validati will coordinate and manage granting access to insurers doing business in the State of Arkansas.

Validati will ensure that the web to upload insurance information is configured to lock out a user after a State-assigned number of failed attempts to log in.

2. SECURITY POLICIES

2.1 Password Management

This policy applies to all user accounts that are set up for the Arkansas Online Insurance Verification System.

The purpose of the Password Policy is to establish the rules for the creation, distribution, safeguarding, termination, and reclamation of the user authentication mechanisms.

All passwords, including initial passwords, will be constructed and implemented according to the following rules:

- Minimum of eight (8) characters in length.
- Have at least one (1) upper case.
- Have at least one (1) lower case.
- Have at least one (1) number.
- Have at least one (1) special character.
- Lock the user ID after five (5) sequential incorrect password attempts.
- Password reuse prohibited for 12 generations.

The user must change the password every 120 days. Notify the user to change the password at 110 days and 115 days after password creation. Reset the user ID if the password is not changed at 120 days after creation. Each user must have a unique user ID to access the System. Same user ID cannot be logged to the System at the same.

2.2 Wireless Communication

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility. DFA employees are subject to wireless rules established by the State of Arkansas.

This policy covers all wireless data communication devices (e.g., personal computers, cellular phones, PDAs, etc.) that can establish a connection to the Validati network. This includes any form of wireless communication device capable of transmitting packet data.

All wireless Access Points / Base Stations connected to the network must be registered and approved. These Access Points / Base Stations are subject to periodic penetration tests and audits.

All computers with wireless LAN devices must utilize Virtual Private Network (VPN) configured software to establish connectivity. To comply with this policy, wireless implementations will be established using an SSL VPN and employ multi-factor authentication for validation.

The SSID must be configured so that it does not contain any identifying information about the organization, such as the company name, division title, employee name, or product identifier.

2.3 Remote Access Policy

This policy applies to all Validati and DFA users who will be approved for remote access on the Arkansas Online Insurance Verification System located in the Hudson, Ohio facility.

These standards are designed to minimize the potential for exposure which may result from unauthorized use of the resources.

Remote access implementations that are covered by this policy include, but are not limited to, dial-in modems, frame relay, ISDN, DSL, VPN, SSH, and cable modems, etc.

- Users are permitted to use only those network addresses issued to them by the Network Manager.
- No routers, switches/hubs or wireless access point will be installed.
- Users will not install network hardware or software that provides network services.
- Remote users connect to the development environment through an ISP and using protocols approved and a Validati ISO approved Virtual Private network (VPN) connection.
- The most up to date anti-virus software will be used for hosts connecting remotely.
- Users connected to the development network remotely will not be connected to any other networks simultaneously.
- All development work for the Arkansas Online Verification System will be completed at the Validati Hudson Ohio facility. Remote access into the Arkansas Online Insurance Verification System environment in the Ohio facility must be for non-development technical support issues.
- Multi-factor authentication tokens will be required for access.

2.4 Physical Access Controls

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility.

The purpose of the Physical Access Policy is to establish the rules for the granting of, control, monitoring, and removal of any physical access to components used for the Arkansas Online Insurance Verification System environments in Hudson Ohio.

Specifically:

- All physical security systems comply with all applicable regulations such as building codes and fire prevention codes.
- Physical access to all facilities is documented and managed.
- All facilities are physically protected in proportion to the criticality or importance of their function.
- All sensitive areas are protected by key or swipe readers with two barriers to entry.
- Access to facilities is only granted to support personnel whose job responsibilities require access to that facility and have completed the appropriate training and forms required.

The process for granting card and/or key access to facility includes the approval of the Administrative Manager of the facility. Each individual that is granted access rights to a facility will receive emergency procedures training for the facility and sign the appropriate access and non-disclosure agreements.

Additionally:

- Access cards and/or keys must not be shared or loaned to others.
- Access cards and/or keys that are no longer required are returned to the person responsible for the facility. Cards must not be reallocated to another individual bypassing the return process.
- Lost or stolen access cards and/or keys are to be reported to the person responsible for the facility.
- Cards and/or keys must have no identifying information other than a return mail address.
- All visitors must be controlled and tracked via sign in/out log and the appropriate escort.

- Card access records and visitor logs for facilities are kept for routine review.
- The Validati ISO will ensure that the card and/or key access rights of individuals that change roles or are separated are removed by network management personnel.
- Visitors must be escorted in card access controlled areas of the facilities.
- The Administrative Manager responsible for the facility must review access records and visitor logs for the facility on a periodic basis and investigate any unusual access.
- Signage for restricted access rooms and locations will be practical, yet minimal discernible evidence of the importance of the location will be displayed.

2.5 Auditing Policy – Security Events, Administrative/Privileged Actions and Management Controls

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility. Additionally, some Validati project team members will be subject to additional audit controls established by the DFA when their duties involve the linkage and testing for any test or production area for a State of Arkansas system.

The purpose of the Auditing Policy is to ensure no malicious activity is being carried out by both administrators and non-administrators users on the company network. This policy applies to any administrative or security related event or action and defines requirements in the auditing of security event logs and auditing of administrative or privileged actions.

Specifically:

- All security event logs will be reviewed on a weekly basis. All suspicious activity must be reported to the ISO.
- All administrative actions will be logged and audited to ensure no activity is taking place by empowered personnel that may negatively the security or integrity of the company computer systems.
- The network and the VeriTrak system shall create an audit record for both successful and unsuccessful executions of each transaction in all the applications.
- Transactions will be time and date stamped within the log.
- Audit logs will be retained for a minimum of three years.
- Audit logs shall be secure from unauthorized modification.

2.6 Configuration, Version Control and Patch Management

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility. Additionally, some Validati Project Team members will be subject to additional audit controls established by DFA when their duties involve the test or production areas of any other State of Arkansas system.

The purpose of this policy is to control all of the following events:

- Any modifications/updates/upgrades to hardware, software, firmware, application modules, reports, services must be completed in accordance with the Maintenance Plan
- All Windows Server Update Services processes will be executed in a standard maintenance window on a weekly basis (unless an update is identified as an emergency)
- All System upgrades and/or operating system hot fixes will be executed in a standard maintenance window on a weekly basis (unless an update is identified as an emergency)

The ISO and the network management are responsible to draft any/all Change Request documentation required to perform Validati responsible upgrades that may have to occur in the in the VeriTrak test or production data centers. A Change Control Request document must be submitted for all change requests, and must include:

- Plan for Installation, testing and contingency backout
- Estimation of hours of work
- Start date and completion date
- Allocation of Validati staff
- A complete list of systems, functions or protocols affected
- Risk of non-implementation

Patches must be applied in a timely fashion to prevent exploitation of Operating System and Application vulnerabilities that may affect the network and computing resources.

Patches are divided into the following categories:

- **Critical**
 - Patches that directly address a security threat with a potential of major impact on network resources.

- **Non-Critical**
 - (Hotfix) Patches that have moderate or no security significance, may a functionality upgrade.

Validati will ensure that each service pack includes documentation that identifies affected software components and classifies the service pack item as either:

- **Low impact** – software component is backward compatible
- **Medium impact** – software component is backward compatible; configuration, testing, or documentation changes may be required
- **High impact** – software component requires either new database structures, data fixes, or recompilation of site-specific components; existing business processes may be impacted

All computers connecting to the network will be configured with an automated procedure for maintaining current Operating Systems patches. Patch deployment requirements are documented in the Maintenance Plan.

All patches will be evaluated in an appropriate test environment and released for deployment only after successful testing has been completed. Prior approval before release is required as part of the change management process.

Validati will scan all network computers on a periodic basis to check and verify patch levels. Computers not in compliance may be disconnected from the network until they are repaired

2.7 Media Protection, Sanitation and Release Policy

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility.

This policy defines the methods and media protection and sanitation that apply to all media in the Hudson Ohio data center. Additionally, the release policy for these types of media is additionally subject to review by DFA OSI personnel.

Specifically:

- All media sanitation will be performed using an approved utility that conforms to the NIST, Guidelines for Media Sanitization, SP800-88, Appendix A.
- Hard disks are not authorized to be released for reuse outside of the Validati data center.
- Removable storage media, including CDROM, DVD, Floppy Disks, and USB storage device are not authorized to be released outside of the Validati data center.
- CD and DVDs should be shredded.
- USB hard drives and memory cards shall be destroyed or sanitized before releasing control.
- If a removable storage media is damaged, or no longer deemed usable, it should be destroyed.

Additionally:

- For malfunctioning media: Magnetic storage media that malfunctions or contains features that inhibit overwriting will be reported to the Information Security Officer (ISO). The ISO will coordinate the repair or destruction of the media.
- The rubber surface of platens shall be sanitized by wiping the surface with alcohol.
- For Laser Printer Drums, Belts, and Cartridges: Laser printer components containing light-sensitive elements (e.g., drums, belts, complete cartridges) shall be sanitized before release from control. Elements can be considered sanitized after printing three printer font test pages.

2.8 Access Policy

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility.

This policy defines requirements through secure authentication.

The purpose of this policy is to ensure no malicious activity is being carried out by both administrators and non-administrators.

This policy applies to any administrative or security related event or action.

- All security event logs will be reviewed on a weekly basis.
- Any suspicious activity will be reported to the ISO in writing for proper handling.
- All administrative actions will be logged and audited to ensure no activity is taking place by empowered personnel that may negatively impact the security or

2.9 Disclosure

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility. Additionally, some Validati Project Team members will be subject to additional disclosure controls established by the DFA, when their duties involve the test or production areas of any State of Arkansas system.

This policy defines requirements for protection against unauthorized disclosure. This policy applies to all Project Team members that are responsible for the installation and support and use of the resources used to construct or reside in the VeriTrak development environment. These procedures will apply to the handling, processing, storing, and communication of all information no matter the form of exchange.

Specifically:

- **Data Protection**
 - Data will be stored, encrypted, and controlled so that the data is kept secure.
- **Data Isolation**
 - Data will be encrypted and secured while at rest, in transit, and in use, and access to the data will be controlled.
- **Data Sanitization**
 - Sanitization involves the expunging of data from storage media by overwriting, degaussing, or other means, or the destruction of the media itself to prevent unauthorized disclosure of information. Data sanitization also applies to backup copies made for recovery and restoration of service and residual data remaining upon termination of service.

Prior to disposal or release for reuse by unauthorized individual, electronic media will be overwritten 3 times or degaussed. Inoperable media will be destroyed (cut up or shred). Written documentation will be maintained of the steps taken to sanitize or destroy the media. These steps will only be carried out by authorized personnel.

2.10 Audit and Activity Logs

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility. Additionally, some Validati project team members will be subject to additional disclosure controls established by the DFA, when their duties involve the test or production areas of any other State of Arkansas system.

The purpose of this policy is to ensure that audit logs for all virtual machines and hosts will be stored outside the hosts' virtual environment. An audit log will minimally contain the following information:

- Include all actions taken, with times noted
- All conversations, including the person(s) involved, the date and time
- Summarized system events

Activity logs reflect the course of events (from a networking, applications, and infrastructure perspective) of each day. Activity log data can be queried and will provide the following:

- Update and Reporting Processes logs (upon incident and monthly)
- Security and intrusion logs (upon incident and monthly)
- Security patching report (monthly)
- Software and configuration documents (upon changes, quarterly)
- Program, Database, Network and Access Control Logs (monthly)

2.11 Intrusion Detection and Authentication

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team Project Team who are working in the Hudson, Ohio facility. Additionally, some Validati project team members will be subject to additional disclosure controls established by the DFA, when their duties involve the test or production areas of other State of Arkansas systems.

The purpose of this policy is to define requirements that prevent an intruder from gaining unauthorized access and potentially:

- Disclosing confidential data
- Causing service deterioration by modifying the switch or router firmware
- Crashing a switch or router
- Removing all traces of the intrusion

In order to mitigate the potential of unauthorized access, the implementation of network-based and/or host-based intrusion detection tools such as the following must occur:

- Firewall, VPNs, and VLANs.
- Monitor inbound and outbound communications for unusual or unauthorized activities.
- Compile individual intrusion detection logs (centrally) where correlation and analysis will be accomplished as a system wide intrusion detection effort.
- Employ automated tools to support near-real-time analysis of events in support of detecting system-level attacks

2.12 Incident Handling

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility. Additionally, some Validati Project Team members will be subject to additional controls established by the DFA, when their duties involve the test or production areas of other State of Arkansas systems.

The purpose of this policy is to define the requirements for Incident Handling. The procedures below apply to the security components of issue management. The technical support (e.g., helpdesk) has their own procedures and guidelines that are used to ensure that the incident recognition, monitoring and disposition are completed in accordance with approved procedures (those procedures are contained in the VeriTrak Operations Manual). Incident Handling is the methodology and analytical process that must be completed in order to confirm the occurrence of an incident, or to determine the method and level of incident intrusion. This process will be performed quickly and with the required documentation to ensure that traceability and investigative integrity is maintained.

For all incidents, the primary objective is to gain control of the security problem by taking a proactive approach and reacting to incidents. The goals of this policy include the following:

1. The Validati Primary Contact (ISO) for State security issues will notify the Validati Account Manager and the DFA Program Manager immediately upon the discovery of a potential security incident and provide a written report. The report will include:
 - a. Detail on the nature of the Incident
 - b. What information is involved
 - c. Validati employees assigned to investigate and correct the incident.
 - d. The party responsible for the incident (if known)
 - e. Next steps for Validati to take in the investigation
 - f. The time of discovery, time of notification and the time Validati took measures to neutralize the Incident.
 - g. Any available logs from the time of the Incident
 - h. Any necessary steps, protocols, or actions Validati has taken
2. Validati's Primary Contact for State security issues (ISO) will provide the Validati Account Manager and the DFA Program Manager with a daily report detailing the status of the investigation along with any subsequent details.
3. Validati's Primary Contact for State security issues (ISO) will provide the daily report until DFA has confirmed that the security incident is resolved and all risks have been eliminated.

4. Validati's Primary Contact for State security issues (ISO) will confer with the DFA Program Manager regarding the proper course of the investigation and risk mitigation.

The Validati Primary Contact for State security issues (ISO) will ensure that all incident documentation is maintained for 48 months and that the documentation (and any supporting materials) can be made available to State Agencies upon request (as part of an annual or ad-hoc audit request).

2.13 Contingency Planning

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility. Additionally, some Validati Project Team members will be subject to additional controls established by the DFA, when their duties involve the test or production areas of any State of Arkansas system.

The Validati data center located in the Hudson Ohio facility has a business continuity or disaster recovery (DR) plan that addresses multiple contingency plans in the event of an interruption, disruption or disaster. The plan addresses the necessary considerations for the development, testing and production environments, located in the Hudson Ohio data center.

2.14 Scanning and Monitoring

This policy applies to all Validati users on the Arkansas Online Insurance Verification Project Team who are working in the Hudson, Ohio facility. Additionally, some Validati project team members will be subject to additional controls established by the DFA, when their duties involve the test or production areas of any State of Arkansas system.

The purpose of the Security Scanning Monitoring Policy is to ensure that security controls are in place, are effective, and are not being bypassed. One of the benefits of security monitoring is the early identification of wrongdoing or new security vulnerabilities. This early identification can help to block the wrongdoing or vulnerability before harm can be done, or at least to minimize the potential impact. Other benefits include Audit Compliance, Service Level Monitoring, Performance Measuring, Limiting Liability, and Capacity Planning.

Automated tools will provide real time notification of detected wrongdoing and vulnerability exploitation. A security baseline must be developed and the tools will report exceptions. Security baselines can be compared to ensure past vulnerabilities have been remediated.

These tools will be deployed to monitor:

- Internet traffic
- Electronic mail traffic
- LAN traffic, protocols, and device inventory
- Operating system security parameters

The following files will be checked for signs of wrongdoing and vulnerability exploitation at a frequency determined by risk:

- Automated intrusion detection system logs
- Firewall logs
- User account logs
- Network scanning logs
- System error logs
- Application logs
- Data backup and recovery logs
- Help desk trouble tickets
- Telephone activity – Call Detail Reports
- Network printer and fax logs

The following checks will be performed at least annually by assigned individuals:

- Password strength
- Unauthorized network devices
- Unauthorized personal web servers
- Unsecured sharing of devices
- Unauthorized modem use
- Operating System and Software Licenses

The following checks will be performed at least quarterly:

- A vulnerability scan/analysis performed by a third party utilizing an industry recognized software tool and methods, which will determine overall network and remote access vulnerabilities.
- The following checks are to be performed on a to be determined schedule:
- Internal network scanning using a certified third party software tool and methods, which will determine network, application and remote access vulnerabilities.

- Any security issues discovered will be reported to the ISO for follow-up investigation. All the security issues will be documented and addressed immediately.

3. DELIVERABLE SCHEDULE

3.1 Key Deliverable Dates

Table 1. Key Deliverable Dates

KEY ACTIVITY	DUE DATE	COMMENT

Arkansas Online Insurance Verification System

Validati Maintenance Plan

January, 2019

VALIDATI®

Revision History

REVISION #	DATE OF RELEASE	SUMMARY OF CHANGES
Version 1	July,2019	Initial submission to satisfy RFP requirement.

Approvals

NAME	ROLE	DATE

Table of Contents

1. INTRODUCTION.....	4
1.1 PURPOSE	4
1.2 SCOPE	4
2. MAINTENANCE PLAN	5
2.1 REQUIREMENTS	5
2.1.1 <i>General Maintenance (Updates/Upgrades)</i>	5
2.1.2 <i>Software Maintenance</i>	7
2.1.3 <i>Hardware Maintenance</i>	8
2.2 SECTION 2 – DELIVERABLE DESCRIPTION	10
3. DELIVERABLE SCHEDULE	11
3.1 KEY DELIVERABLE DATES.....	11

1. INTRODUCTION

1.1 Purpose

Validati will maintain the Arkansas Online Insurance Verification System in such a manner that the system is available 99.5% of the time each month, excluding scheduled downtimes agreed to by the Contract Monitor. Validati will ensure that system updates, patches and updates for functionality, operability, and security purposes are completed in order to maintain this requirement. This Maintenance Plan describes the procedures Validati will utilize in this effort.

1.2 Scope

The Maintenance Plan will cover:

- Patches to operating system and database management system software
- Patches to other software used by the VeriTrak™ technology
- Validati supplied patches and upgrades to the VeriTrak™ software
- Hardware used to host the VeriTrak™ system
- Notification and approval requirements for software patching and upgrades
- Notification and approval requirements for hardware upgrade and/or replacement
- Destruction of data on decommissioned hardware

2. MAINTENANCE PLAN

2.1 Requirements

The VeriTrak™ system will be available 99.5% of the time each month, excluding scheduled downtimes agreed to by the Contract Monitor.

Maintenance will not compromise or negatively impact or interrupt any configurations or customizations made by Validati to the Arkansas Online Insurance Verification system.

Validati will provide any software and/or hardware changes and/or updates to implement Federal or State legislative required changes during the contract period. Changes and/or updates will comply with State or Federal implementation deadlines and will be provided at no additional cost to the State.

Validati will ensure that new and revised documentation including help files and configuration documents associated with the service packs or new/updated versions are delivered to the State Project Manager (DFA Office of Motor Vehicle and Office of Driver Services Administrator).

DFA will have final approval on the installation of all upgrades, service packs and releases, before any scheduling of deployment will be conducted.

2.1.1 General Maintenance (Updates/Upgrades)

Validati will apply patches to the Microsoft Windows Server operating system and Microsoft SQL Server database management system.

Validati classifies patches as follows.

- **Critical:** Patches which directly address a security threat with a potential of major impact on network resources.
- **Non-Critical (Hotfix):** Patches that have moderate or no security significance; may be a functionality upgrade.
- **Service Packs and Cumulative Updates:** An aggregation of multiple patches

Patches will be applied monthly, as needed. Critical patches will be evaluated as they are released and applied sooner as determined by Validati and DFA staff.

All patches will first be applied to the Validati VeriTrak™ development environment. Testing will be conducted to determine whether the patch adversely affects the VeriTrak™ system. If an adverse effect is identified, Validati will propose in writing to

DFA either a remediation plan or that the patch not be applied to the Arkansas Online Insurance Verification system.

Once a patch has been approved, Validati will apply it to the test and QA server(s). Testing will again be conducted to determine whether the patch adversely affects the VeriTrak™ system. If an adverse effect is identified, Validati will propose in writing to DFA either a remediation plan or that the patch not be applied to the Arkansas Online Insurance Verification system.

Once DFA has approved a patch for production release:

- a. If the patch requires a server reboot, Validati will schedule the reboot at a time outside of business hours (7:00 AM to 7:00 PM Central Time, Monday through Friday, excluding State holidays) that is approved by DFA.
- b. Validati will apply the patch to the Arkansas Online Insurance Verification system, rebooting the server(s) at the approved time as necessary.

Validati will apply patches to commercial software used in the Arkansas Online Insurance Verification system.

Patches will be applied monthly, as needed. Critical patches will be evaluated as they are released and applied sooner as determined by Validati and approved by DFA.

Validati will review all Arkansas Online Insurance Verification computers in the Validati data center quarterly to check and verify patch levels.

Validati will use currently supported development tools and platforms to develop and deploy the Arkansas Online Insurance Verification System. Validati will migrate Arkansas Online Insurance Verification software to new tools and platforms by the time a tool or platform reaches its end of supported life. Currently supported tools and platforms include, but are not limited to, the following.

- Microsoft Visual Studio 2012, 2013, 2015, and 2017.
- Microsoft SQL Server 2012, 2014, 2016, and 2017.
- Microsoft Windows Server 2012, 2016, and 2019.
- Microsoft Windows 10

Validati will ensure that new and revised documentation including help files and configuration documents associated with the service packs or new/updated versions are delivered to the State Project Manager (DFA Office of Motor Vehicle and Office of Driver Services Administrator).

2.1.2 Software Maintenance

All changes to the VeriTrak™ software will be subject to Validati's Change Management procedures and approval by DFA and any other State Agency.

Validati will provide the latest production version of the VeriTrak™ system released and coordinate with the State in making it available to those State Entities participating in the solution at no additional cost to the State.

Validati will implement database maintenance procedures to rebuild or reorganize fragmented indexes within the VeriTrak™ database(s).

Index maintenance will be conducted "online" to avoid query outages while the indexes are being maintained. Index maintenance will be conducted off-hours to eliminate impact on performance.

Validati will monitor query performance and introduce Change Requests whenever Validati determines that a significant performance improvement can be gained. Such improvements may include, but are not limited to, index tuning, data partitioning, etc. DFA will have final approval on all these requests.

Validati will monitor match rates and introduce Requests for Change whenever Validati determine that a new or updated matching algorithm can provide significant improvement to the match rate.

Validati will provide reports related to program maintenance activity on a monthly basis. These reports will be made available no later than two (2) weeks from the end of the previous month.

Validati will provide Service Packs for the VeriTrak™ solution on an as needed basis.

Services Packs are released on a quarterly schedule, but may be done more or less frequently as needed. Validati will notify DFA's CIO or their designee in writing of all upcoming service packs and software patches at least sixty (60) days prior to their release. Service packs are documented in the System Upgrade Plan and may contain the following:

1. A packaged set of repaired defects
2. Enhancements to the existing system
3. New Software components

The System Upgrade Plan for the Service Pack will include documentation that identifies affected software components and classifies the service pack item as either:

1. Low impact – software component is backward compatible
2. Medium impact – software component is backward compatible; configuration, testing, or documentation changes may be required

3. High impact – software component requires either new database structures, data fixes, or recompilation of site-specific components; existing business processes may be impacted

VeriTrak™ Service Packs will be tested following the procedures in the Test Plan. Test results will be approved by DFA prior to completion.

Once a Service Pack has been approved for production release:

If the Service Pack requires a server reboot, Validati will schedule the reboot at a time outside of business hours (7:00 AM to 7:00 PM Central Time, Monday through Friday, excluding State holidays) at the time in the System Upgrade Plan that is approved by DFA.

Validati will apply the Service Pack to the Arkansas Online Insurance Verification system, rebooting the server(s) at the approved time as necessary.

Validati will ensure that new and revised documentation including help files and configuration documents associated with the service packs or new/updated versions are delivered to the State Project Manager (DFA Office of Motor Vehicle and Office of Driver Services Administrator).

2.1.2.1 Software Maintenance – Regulatory mandates

Validati will provide any software and/or hardware changes and/or updates to implement Federal or State legislative required changes during the contract period. Changes and/or updates will comply with State or Federal implementation deadlines and must be provided at no additional cost to the State.

All required updates will be implemented outside of normal system operating hours at a date and time approved by DFA so as to minimize disruptions to system operations. Normal system operating hours are Monday to Friday, 7am to 7pm Central Time, excluding State holidays.

2.1.3 Hardware Maintenance

Validati utilizes various Servers to house the applications of products that are run from the client computers. The manufacturer and model of each server, as well as the software installed on each server is documented.

A break/fix contract with Park Place International has been put in place to ensure that the mission critical servers are under a 24x7 period maintenance with 4 hour response time for servers not under manufacturer maintenance. If the problem is with server hardware, Park Place International will be contacted to fix the issue.

All changes to the VeriTrak™ hardware will be subject to Validati's Change Management procedures

Validati implements monitoring tools to assess server health and utilization statistics such as CPU utilization and disk utilization. If warranted, Validati will introduce a change request to add, upgrade, or replace hardware to maintain system performance levels.

Disk drives are be configured in a RAID to allow hot swapping of disk drives without an outage while the disk drive is being replaced.

If hardware maintenance requires downtime, Validati will schedule the maintenance at a time outside of business hours (7:00 AM to 7:00 PM Central Time, Monday through Friday, excluding State holidays) that is approved by DFA.

Hardware upgrades will be included in the System Update Plan and will be tested following the procedures in the Test Plan. Test results will be approved by DFA prior to completion.

Once a hardware upgrade has been approved for production release:

1. If the hardware upgrade requires a server reboot, Validati will schedule the reboot at a time outside of business hours (7:00 AM to 7:00 PM Central Time, Monday through Friday, excluding State holidays) at the time in the System Upgrade Plan that is approved by DFA.
2. Validati will apply the hardware upgrade to the Arkansas Online Insurance Verification system, rebooting the server(s) at the approved time as necessary.

At the end of the contract period, or at any time a hard drive is removed from use within the scope of this contract, Validati will erase, destroy, and render unrecoverable all data and certify in writing that these actions have been completed within thirty (30) days of the termination of this agreement or within 7 days of the request by the State, whichever will come first. At a minimum, a "Clear" media sanitization will be performed according to the standards enumerated by the National Institute of Standards, Guidelines for Media Sanitization, SP800-88, Appendix A - see <http://csrc.nist.gov/>.

Validati will ensure that new and revised documentation including help files and configuration documents associated with the service packs or new/updated versions are delivered to the State Project Manager (DFA Office of Motor Vehicle and Office of Driver Services Administrator).

2.2 Section 2 – Deliverable Description

Validati will deliver:

- Quality Assurance Guidelines. This Test Plan document will contain procedures for testing new updates, patches or upgrade to the software solution. The Guidelines will be furnished to the State 30 days prior to go-live. Validati will ensure that any solution updates or maintenance will not compromise or negatively impact or interrupt any configurations or customizations of the System.
- System Upgrade Plan. This document will contain the quarterly release plan. It will include a timeline, milestones, and adequate testing to be completed prior to implementation of the updates, patches, or upgrades to be released during the quarter. It will document any necessary downtime required to implement the updates, patches, or upgrades to be released during the quarter. The upgrade will completed at the scheduled time and within fourteen (14) calendar days written notice is provided to the Contract Monitor and approved.
- VeriTrak™ System Documentation. Validati will ensure that new and revised documentation including help files and configuration documents associated with the service packs or new/updated versions are delivered to the State Project Manager (DFA Office of Motor Vehicle and Office of Driver Services Administrator).

3. DELIVERABLE SCHEDULE

3.1 Key Deliverable Dates

Table 1. Key Deliverable Dates

KEY ACTIVITY	DUE DATE	COMMENT

Arkansas Online Insurance Verification System

Validati Ongoing User and Technical Support Plan

January, 2019

VALIDATI[®]



Revision History

REVISION #	DATE OF RELEASE	SUMMARY OF CHANGES
Version 1	January, 2019	Initial submission to satisfy RFP requirement.

Approvals

NAME	ROLE	DATE

Table of Contents

1. INTRODUCTION.....	4
1.1 PURPOSE	4
1.2 SCOPE	4
2. ONGOING USER AND TECHNICAL SUPPORT PLAN	5
2.1 REQUIREMENTS	5
2.1.1 <i>Customer Support Help Desk (Arkansas Citizens)</i>	5
2.1.2 <i>Customer and Technical Support Help Desk (Insurance Companies)</i>	7
2.1.3 <i>State Agency Technical and User Support</i>	9
2.1.4 <i>Consolidated Help Desk</i>	12
2.2 DELIVERABLE DESCRIPTION	13
3. DELIVERABLE SCHEDULE	14
3.1 KEY DELIVERABLE DATES.....	14



1. INTRODUCTION

1.1 Purpose

Validati will provide for ongoing user and technical support for Arkansas citizens, Arkansas insurance companies, and Arkansas State Entities.

The document describes Validati's proposal and capabilities to provide ongoing user and technical support for the Arkansas Online Insurance Verification system.

1.2 Scope

The Ongoing User and Technical Support Plan will cover:

- Arkansas Citizen Customer Support Help Desk
- Arkansas Insurance Company Customer Support Help Desk
- State Technical and User Support
- State escalation report
- Tasks, deliverables, and milestones

2. ONGOING USER AND TECHNICAL SUPPORT PLAN

2.1 Requirements

2.1.1 Customer Support Help Desk (Arkansas Citizens)

Validati has proven telephone technology including scripts and screens we will develop specifically for the Arkansas Online Insurance Verification System. The Call Center will be managed by a trained Call Center Manager with industry experience required to effectively interface with constituents and establish all of the process controls, including Quality Assurance programs to comply with the RFP requirements.

Validati has robust technology supporting our call center staff, which will ensure that we will answer calls within an average speed of answer of less than 30 seconds. All calls will be recorded for training and quality assurance.

1. Validati will provide a Customer Support Help Desk for Arkansas citizens via toll free telephone and email to assist with questions regarding the customer service website and the non-compliance letters. We will use our staffing models to ensure that we can provide 20 second Average Speed of Answer for all calls or emails to the call center.

Validati has more than 30 years of experience operating customer support help desks for consumers. We provide help desk support for all three of our state vehicle insurance programs as well as for dozens of other clients ranging from municipalities to county and state governments.

2. Customer support will be available to Arkansas citizens Monday – Friday 7:00 a.m. – 7:00 p.m. Central Time, excluding State holidays. Validati provides an Interactive Voice Response (IVR) system that will allow customers to obtain answers to common questions without the need to speak to a live representative and this system is available 24X7 & 365 days per year. Email message received outside of support hours will be answered the next business day.
3. The Customer Support Help Desk will be English speaking and located in the Hudson, Ohio Call Center.
4. Validati will have trained and experienced customer service-oriented employees. Validati has been operating Customer Support for more than 30 years. Service is a Validati core value and all of Validati's Customer Service Agents are trained in both product and system skills as well as soft skills for consumer interactions. Refresher training is conducted if needed.
5. Customer Support staff will be professional and courteous while assisting Arkansas citizens. Validati has a Quality Assurance program to ensure that all calls to the Help Desk are handled in a professional, courteous, and



knowledgeable manner. Calls and emails are monitored and scored against quality standards. Staff who do not perform according to quality standards receive corrective action ranging from retraining to termination.

6. The Validati call center personnel will have escalation procedures written, documented and approved to ensure that any/all technical or reporting items are forwarded to the appropriate State and Validati resolution teams. The Validati call center representative will escalate the call to the call center manager. The manager will initiate the documentation of the escalation and attempt to resolve the issue. If the manager is unable to resolve the issue for the citizen, the Validati Call Center manager will provide the citizen with a contact number to speak with a DFA representative. Validati will create an internal escalation report and send to the State's Project Manager that will detail the incident and deliver the report daily and make it available through the State Agency web portal access. Incident details will include:

- Details of the issue
- Issue date and time
- Vehicle information (VIN, Year, Make, Model)
- Customer name
- Brief description of why the issue is escalated to DFA
- Additional Comments



2.1.2 Customer and Technical Support Help Desk (Insurance Companies)

The Technical Coordinator will work directly with the insurance companies to fix any incorrect submissions of data in a timely manner. All submission issues and actions taken to correct them will be communicated to DFA. The Coordinator will also work with the insurance companies to improve the quality of the reported information. Finally, any issues related to driver compliance will be investigated and resolved by the Coordinator or the Call Center Manager.

1. Validati will provide Customer Support Help Desk for Insurance Companies writing policies in the State of Arkansas via toll free telephone and email to assist with questions regarding the data transfers, Online verification and access to the web portal.

Validati has more than 30 years of experience operating customer and technical support help desks for insurance companies. We manage technical support desks for all of our clients, 24X7 & 365 days per year. We provide help desk support for all three of our state vehicle insurance programs as well as for dozens of other clients ranging from municipalities to county and state governments.

2. Customer support will be available to Insurance Companies Monday – Friday 7:00 a.m. – 7:00 p.m. Central Time, excluding State holidays. Insurance Companies will be able to reach data coordinator Monday – Friday 7:00 a.m. – 7:00 p.m. excluding State holidays. At other times, Insurance Companies may leave a voice message, and a technical support representative will call them back the next business day. Email message received outside of support hours will be answered the next business day.
3. The Customer and Technical Support Help Desk will be English speaking and located in the Validati Offices in the United States.
4. Validati will have trained and experienced technical support employees. Validati has been operating Customer and Technical Support Help Desks for more than 30 years. Service is a Validati core value and all of Validati’s Customer and Technical Service Agents are trained in both product and system skills as well as soft skills for consumer interactions. Refresher training is conducted as needed.
5. Customer and Technical Support Help Desk staff will be professional and courteous while assisting Insurance Companies. Validati has a Quality Assurance program to ensure that all calls to the Help Desk are handled in a professional, courteous, and knowledgeable manner. Calls and emails are monitored and scored against quality standards. Staff who do not perform according to quality standards receive corrective action ranging from retraining to termination.
6. The Validati insurance coordinator will have escalation procedures written, documented and approved to ensure that any/all technical or reporting items are



forwarded to the appropriate State and Validati resolution teams. The Validati coordinator will escalate the call to the Account Manager. The manager will initiate the documentation of the escalation and attempt to resolve the issue. If the manager is unable to resolve the issue for the insurance company, the Account Manager will provide the company representative with a number to speak with a DFA representative. Validati will create an internal escalation report and send to the State's Project Manager that will detail the incident and deliver the report daily and make it available through the System. If the issue surrounds a given citizen's vehicle, Validati will provide similar information required in the citizen escalation policy. Issues related to data transfer or system performance will be documented with the specific issue and resolution



2.1.3 State Agency Technical and User Support

Validati's technical staff is in place and trained in performing technical assistance and support to California, Ohio and New Mexico. Our processes are well documented and will easily translate to comply with the Arkansas Online Insurance Verification System requirements. Our detailed documentation helps our technical staff diagnose and resolve problems quickly. Validati has an escalation system in place that takes an incident assigned to the Help Desk and allows escalation to the proper individual for a quick resolution. As with any client, Validati will continue to update documentation to improve and maintain our level of support.

Validati will (a) create an error report, (b) assign a severity level and (c) attempt to resolve the Software problem. Validati responds to any voice or email communication. Routine requests, queries or questions are responded to in a timely and efficient manner. Validati's escalation policy is well proven. If the help desk manager on call is not able to answer the question or solve the issue at once, he/she refers the call to an IT manager or software engineer.

1. Validati will provide technical and user support for State Agency personnel via toll free telephone and email Monday – Friday, 7a.m.- 7p.m. Central Time, excluding State Holidays. Validati has more than 30 years of experience operating customer support help desks State Agency personnel. We provide help desk support for all three of our state vehicle insurance programs as well as for dozens of other clients ranging from municipalities to county and state governments.
2. Emergency Support will be available twenty-four (24) hours a day, seven (7) days a week. Emergency Support will include, but not be limited to, an event such as a complete system failure. Validati will provide DFA with a single point of contact for afterhours support initiation. Our after-hours on call support is already fully operational and able to address technical issues effectively during non-business hours. Validati will provide a notification system as needed via phone, email, IVR or web.
3. Support staff will be English speaking and located in the Hudson, Ohio offices.
4. Validati will provide technically knowledgeable support staff in sufficient quantities to assist State Agency users. All of Validati's technical support staff are knowledgeable in the VeriTrak™ technologies and business process. Validati will provide State Agency users with subject matter experts as necessary to solve more difficult problems.
5. Support staff will be professional and courteous while interacting with State Agency personnel. Validati has a Quality Assurance program to ensure that all calls to the Help Desk are handled in a professional, courteous, and knowledgeable manner. Calls and emails are monitored and scored against quality standards. Staff who do not perform according to quality standards receive corrective action ranging from retraining to termination.



6. Validati will provide an online process for authorized State users to log technical issues and track the work effort. Validati will provide periodic updates to DFA on all issues.
7. Technical issues will be designated Emergency, High, Medium, or Low Priority. Validati will:
 - A) Provide resolution to High Priority Issues within four (4) business hours.
 - B) Provide resolution to Medium Priority Issues within one (1) week.
 - C) Provide resolution to Low Priority Issues within two (2) weeks.

The State and the Validati will mutually agree upon the definitions of Emergency, High, Medium, and Low Priority Issues within thirty (30) days of Contract Award. The State will have final determination. We will complete the documentation and training required to manage according to this final determination. Below is a proposed start to these categorizations. This table will be refined after discussions with the State.

Severity Level	Description	Characteristics
E m e r g e n c y	<ul style="list-style-type: none"> critical impact to the security of the data and information systems business/mission critical system, service, application, equipment, or network component that is substantially unavailable or seriously impacts normal business operations an error or outage (full or partial) that affects end-users or agencies performing a critical function an error or outage (full or partial) that negatively impacts compliance with regulatory mandates or jeopardizes privacy of information event has a high impact on the operation of the System and cannot be circumvented (i.e. no workaround available) the event, due to the immediacy of its effect on critical business functions, requires immediate resolution 	<ul style="list-style-type: none"> a large number of end-users cannot access the System critical functionality is not available the program cannot continue because a vital feature is inoperable, data cannot be secured, backed up, etc.
H i g h	<ul style="list-style-type: none"> the agencies or end-users can use the System, service, application system, equipment, or network component, but the functionality and operation is significantly reduced or limited event does not materially affect end-users or does not cause a substantial impact but has the potential to do so if not resolved expeditiously effect of the event is such that it does not require immediate resolution 	<ul style="list-style-type: none"> internal error that causes the System to fail but can be restarted and/or recovery is possible severely degraded performance some important functionality is unavailable, however, the System may continue to operate in a restricted fashion
M e d i u m	<ul style="list-style-type: none"> the agencies or end-users experience a situation accessing or using the System, service, application system, equipment, or network component or key feature, but the situation does not prohibit the execution of productive work event does not materially affect the agencies or end-users or does not cause substantial impact, but has the potential to do so if not resolved expeditiously the effect of the event is such that it does not require immediate resolution 	<ul style="list-style-type: none"> a System or software error for which there is an acceptable workaround agreed upon minimal performance degradation error requiring manual editing of configuration or script files around a problem
L o w	<ul style="list-style-type: none"> an event that may require an extended resolution time, but the agencies and end-users have a reasonable workaround while waiting for resolution the event adversely impacts the business operations the event is such that it does not require immediate resolution 	<ul style="list-style-type: none"> a System or software enhancement for which there is an acceptable workaround agreed upon a documentation error



8. Validati has internal escalation procedures to ensure that appropriate staff are involved to resolve all issues within the required timeframe. State Agency personnel may also, through the appropriate DFA point of contact, provide feedback to Validati or report issues on Technical Help Desk for issues that they have encountered. All of these issues will be documented and resolved to the expectations of DFA.
9. The State and Validati will mutually agree upon the definitions of Emergency, High, Medium, and Low Priority Issues within thirty (30) days of Contract Award. The State will have final determination.

2.1.4 Consolidated Help Desk

Validati proposes to consolidate the support for the Insurance companies with the Level I help desk support. This person will be knowledgeable on the business process and the technology to effectively resolve issue and answer inquiries from both State Users and the insurance companies. The person will be backed-up by the Customer Call Center Manager and the Technical Team



2.2 Deliverable Description

Validati will deliver:

- Ongoing User and Technical Support Plan. This plan describes how Validati proposes to provide the ongoing user and technical support required by the RFP.
- Customer Support Help Desk.
 - Validati will provide an Arkansas Citizen Help Desk to assist citizens with questions regarding the customer service web site and non-compliance letters.
 - Validati will provide an Insurance Company Help Desk to assist insurance companies with certification for reporting insurance to the Arkansas Online Insurance Verification System, reporting issues, and questions regarding the customer service web site and non-compliance letters.
- State Technical and User Support. Validati will provide a help desk for State Entity staff. The help desk will be the main point of contact for technical issues are any other support issues the State needs addressed.
- Online Issue Logging System. This is a portion of the VeriTrak™ web site that allows authorized State users to log issues to be address by Validati support staff.
- DFA Escalation Report. Validati will submit an internal escalation report to the State's Project Manager that details whenever customer service is unable to resolve an issue. This report will be delivered daily to the State Project Manager or the designee and will be available for online viewing through the system.



3. DELIVERABLE SCHEDULE

3.1 Key Deliverable Dates

Table 1. Key Deliverable Dates

KEY ACTIVITY	DUE DATE	COMMENT

Table of Contents

I. Prospective Contractor Package 1 Checklist	Yellow
T-1 Cover Letter and Executive Summary	Y-1
T-2 Prospective Contractor Experience	Y-2
T-3 Prospective Contractor Staffing	Y-3
T-4 Functional Requirements	Y-4
T-5 Requirements Approach	Y-5
T-6 Required Plans	Y-6
T-7 RFP Response Checklist	Y-7
II. Prospective Contractor General Requirements	Red
EO 98-04 Disclosure Form.	R-1
Prospective Contractor's Equal Opportunity Policy.	R-2
Voluntary Product Accessibility Template (VPAT).	R-3
III. Prospective Contractor Attachment Checklist	White
Attachment_1 Current List of Insurance Companies	W-1
Attachment_2 Validati Staffing Plan	W-2
Attachment_3 Validati Project Plan	W-3
Attachment_4 Validati Implementation Plan	W-4
Attachment_5 Validati Test Plan	W-5
Attachment_6 Validati Training Plan	W-6
Attachment_7 Validati Business Continuity and Disaster Recovery Plan	W-7
Attachment_8 Validati Data Security Plan	W-8
Attachment_9 Validati Maintenance Plan	W-9
Attachment_10 Validati Ongoing User and Technical Support Plan	W-10