Netsmart

March 5, 2019

April E. Battle
State of West Virginia
2019 Washington St. East
Charleston, WV 25305

Dear Ms. Battle:

Please accept Netsmart Technologies, Inc.'s response to the West Virginia Department of Health and Human Resources, Bureau for Public Health, Health Statistics Center, Vital Registration Office's RFP process for a for a Commercial off the Shelf (COTS) system for vital records events.

Thank you for including Netsmart in your RFP process. Netsmart is the leader in the implementation of statewide vital records solutions. We are a vision-driven company that is passionate about the opportunity and the obligations that accompany our commitment. As we have shown with our 13 statewide vital records implementations, we seek to earn the right to be a partner with our clients, using our resources for the collective good of the community and providing leadership through innovation.

Netsmart has over 50 years of experience delivering solutions that benefit the health and human services community. Today, we earn our way as our clients' strategic partner, investing in the development of new and dynamic technologies. Netsmart is the longest standing supplier of enterprise vital records solutions in the country, with over 30 years of experience delivering statewide multi-event vital records solutions to a broad spectrum of states including a wide variety of configurations. Our states range from some of the very largest to smallest and the most densely to the most sparsely populated rural areas. Thirteen statewide organizations partner with us to meet the demands of their constituents. We have successfully implemented and currently support statewide vital records solutions that process approximately 2.9M annual event transactions for three of our country's seven largest states. Netsmart is a growing, profitable company with a track record of success for projects like this one.

Netsmart also meets the WVDHHR's requirements as the best value solution provider. Our functionally-rich and highly configurable COTS software, experienced project team, state-of-the-art data centers, proven implementation approach, and strong track record delivering projects of similar size and scope will be applied to this project to produce the lowest risk, most secure, and highest value effort possible.

www.ntst.com
4950 College Boulevard
Overland Park, KS 66211
800.842.1973

Netsmart

We have every confidence that our solutions can meet all your strategic goals as well as your business requirements today and in the future. We look forward to demonstrating our solutions for WVDHHS. Please contact Megan Seiple, Client Alignment Executive, with any questions or comments at (913) 272-2140 or DL_PublicSector_RFP_Contact@ntst.com and copy mgoad@ntst.com.

Sincerely,

Anthony Ritz, Chief Financial Officer
Netsmart Technologies, Inc.

This proposal is valid for one hundred eighty (180) days from the proposal submission date of March 5, 2019.

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Executive Summary

Understanding WVDHHR's Needs

Netsmart submits this response for the West Virginia State Department of Health and Human Resources, Bureau for Public Health, Health Statistics Center, Vital Registration Office's Request for Proposals for a web-based, vendor hosted, Commercial off the Shelf (COTS) system for vital records events.

We understand that WVDHHR is seeking to implement a vital records system that is highly configurable which will integrate all events in a user friendly manner to serve the needs of the State and counties alike. Netsmart understands that the system is expected to streamline a multitude of paper processes, thus allowing staff to be more efficient in their duties, decreasing the time it takes to register and issue records to the public, as well as a decreasing the opportunity for human error in the process. Finally, it will facilitate submission of records to NCHS and other agencies within the federally mandated timeframes.

By starting with a platform that is already standards-compliant and in production, WVDHHR will eliminate significant risk in its ability to implement this project successfully. By incorporating a solution designed to be highly configurable, WVDHHR will avoid significant long-term costs associated with having to re-program the system to accommodate any small changes required over the first several years of the system's life.

Proposed Solution

Netsmart offers a user-friendly, highly configurable, commercial off-the-shelf (COTS) Vital Records System that will eliminate the current system limitations and provide the following benefits:

- Real time access to an integrated vendor hosted system
- Compliance with all National Center for Healthcare Statistics (NCHS) requirements and National Association for Public Health Statistics and Information Systems (NAPHSIS) use cases
- A system that is configurable by a designated State Vital Records user
- A system that streamlines processes providing a higher level of efficiency

Vendor Qualifications

Netsmart is the longest established health and human services technology solutions provider in the U.S., with over 50 years of proven experience and innovation. Netsmart began with and has always been focused on the health and human services landscape, helping shape policy and data standards over the course of its history. We partner with a variety of communities: vital records, public health, state health and human services agencies, community mental health, substance use disorder and recovery, child and family services, intellectual and developmental disabilities, and veterans' services.

Currently, more than 20% of states license Netsmart VRS Vital Records products for enterprise, statewide use. All of them share similar requirements to those of the State of West Virginia's because all states are subject to NCHS standards as well as many federal standards and reporting requirements. For example, all clients provide data to the CDC, SSA, and so on.

That being said, we recognize that all states are significantly different in the details of their workflow processes. Netsmart VRS is a highly configurable COTS application which can facilitate workflow and business rule differences without the need for customization, allowing our clients to configure the system to optimize their specific workflow.

Netsmart employs state of the art software engineering and configuration to provide our clients a System Development Life-Cycle (SDLC) and approach that features industry best practices in fulfilling the WVDHHR's requirements. Netsmart expects to discuss such efficiencies with the State during the Planning Stage of this project. We will offer recommendations based on our experience, as clients find those recommendations a valuable part of the Netsmart solution. Our best practices approach includes three unique Netsmart components that benefit clients:

- The decades of experience our team shares with clients
- The pre-configured COTS product incorporating several hundred industry and client driven capabilities and interface enhancements
- A structured implementation methodology based on the experience gained in over a thousand health and human services projects.

The team that implements Netsmart VRS solutions has over 125 years of collective experience successfully implementing enterprise statewide multi-event Vital Records software solutions with substantially similar requirements to those in West Virginia. With over a dozen other states implemented, the Netsmart team will help guide WVDHHR with best practice advice in all facets of the implementation. This experience will impact all areas of implementation, development, and support. Netsmart is a highly skilled partner, freely offering advice throughout the life of our relationship.

All Vital Records software projects are optimized by the best marriage between software and workflow processes. Other vendors with less experience do not offer the track record, the deep bench, the proven configurability of application, and the experience of bringing it all together. This experience melding all the components into a successful project is what makes our best practices approach effective.

Netsmart has distilled our best practices knowledge into the construction of a pre-configured COTS solution, which supports industry standards and federal requirements out of the box. We call this system "Fastpack" and it jumpstarts a project by beginning with a product already configured to support all federal and industry standards while incorporating setup and workflows successful in other states. This is particularly effective in that we can focus on modifications to a successful platform rather than unnecessary reinvention. Imagine a template which is already configured to support NCHS, SSA, OVS, VIEWS, and NAPHSIS use cases. And imagine that it includes workflow setups, documents, and reports already in use at other states. Best practices are built into the baseline product.

Netsmart has implemented thousands of health and human services clients and our public sector experience includes projects for public health and healthcare solutions in 42 states. We have distilled the collective wisdom and lessons learned from these experiences into our Plexus project methodology. The Plexus methodology includes dozens of adaptations to include the best practices from our experience. Probably most important is the inclusion and linkage of governance into the feedback and early warning loops built into the methodology. For example, at certain project "gates" we pause to review attainment of objectives and if certain objectives are not met, it triggers the escalation to executive steering committee level from the increased risk. This provides opportunity to make critical decisions proactively and to take action earlier, mitigating risk.

Another example of best practices in Vital Records implementations is the focus on end user training. In our experience, this is probably the most frequently underestimated effort in RFPs. Modernized Vital Records solutions are extended to thousands of stakeholders statewide and the vast majority are outside the control of the state. This is a big departure from traditional state projects both in number of disparate groups of users and in the operating environments, most of which are not on state supported desktops and networks. Training thousands of users from hundreds of organizations with unique geographic and time/shift constraints is a daunting task. Netsmart has found that few states can support the staffing and logistical requirements. We believe the best practice is to look to Netsmart to provide more support in training. Netsmart has built a total solution used by several other states and it includes an optimized blend of:

- eLearning using custom built courses using the actual workflow of the production software
- A branded state portal to support communication, messaging, scheduling, and tracking of attainment of skills mastery. This is ideally the same location as the eLearning solution so that end users statewide have a single location for all project related information. Scheduling and tracking attainment of skills can be a nearly full-time job.
- Availability of local face to face training for users which need a hands on approach with immediate assistance. Ideally this will leverage availability of low cost facilities such as a community college training center and it will offer training during off hours. This also can be a full-time job for multiple FTEs during the peak periods prior to go live.
- Flexible instructor led remote training using technologies such as GoToWebinar.

Netsmart has honed our best practices approach to training in other states, and in every recent implementation the state has looked to us for advice. We can accurately predict the resources, length of time, and number of training sessions required to successfully complete the project. This will help eliminate the project risk of poorly trained and frustrated end users.

Why Netsmart?

Netsmart is different from other partners in several ways. Netsmart:

- Invests in our clients. Netsmart assigns a Client Alignment Executive (CAE) as the primary point of contact for communication, issue resolution, and strategic planning. These associates play a critical role in advising clients and optimizing their investment to meet their organizational needs.
- Is the leader in the community. As the largest and longest standing solutions provider serving more than 25,000 client organizations who help more than 25 million consumers every year, Netsmart has an obligation to serve – through its development and sponsorship of the EveryDayMatters® Foundation to its involvement with national policy initiatives.
- Focuses on innovation. We invest more than 15 percent of our revenue back into solution development to extend our capabilities and improve user experience.
- Collaborates with our clients who influence solution direction, design and development of our offerings. A significant number of the enhancements made to Netsmart solutions were client generated; user groups are a major source of that input.
- Understands how counties and states operate. Our ability to serve in the government sector is founded on the principles of operating flexibility, consideration of budgetary constraints, long-term partnership (where most contracts exceed 10 years) and understanding of public sector processes. As a long term member of NAPHSIS, our sponsorship of the NAPHSIS Conference and the sponsor of public sector user associations within the Netsmart community, Netsmart brings years of experience with government / county public health, and vital records organizations to your implementation.
- Netsmart has been providing electronic vital records systems for over 30 years. Netsmart VRS clients share many of the same requirements of this RFP, giving us the superior ability to meet the outlined needs.

Summary

We understand your decision to purchase an integrated Vital Records solution is not just the purchase of a product but the beginning of a partnership. As your strategic partner you can trust us to support your mission-critical functions, keeping your organization sustainable for today while preparing for the future.

Corporate Responsibility

Beyond digitization, our solutions focus on the delivery of care, the path to recovery and ensuring every person has access to care. Netsmart is pleased to support the EveryDayMatters® Foundation, which was established for behavioral and public health organizations to learn from each other and share their causes and stories. The site offers clinicians, practitioners, consumers and community members a place to share stories, celebrate successes and become inspired, providing a forum to share ideas and best practices.

Attachments

Attachments Detail
• Final_CRFP_0506_EHP 1900000002_1_CRFP_Form • Addendum Acknowledgment Form • Solicitation Documents Part 1_Required Signatures • Solicitation Documents Part 2 • Attachment D1 _Functional Specifications • Attachment D2_General System Specifications • Attachment D3_Forms Specifications • Purchasing Affidavit • Disclosure of Interested Parties to Contract • Business License for the State of West Virginia • Proposed WVDHHR Project Plan • Legal Exceptions

Final_CRFP_0506_EHP 1900000002_1_CRFP-Form

The completed *Final_CRFP_0506_EHP 1900000002_1_CRFP-Form* follows this page.

Purchasing Divison
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Request for Proposal
21 — Info Technology

Proc Folder: 541590

Doc Description: Addendum No. 2 - Electronic Vital Records System (EVRS)

Proc Type: Central Contract - Fixed Amt

Date Issued	Solicitation Closes	Solicitation No	Version
2019-02-19	2019-03-05 13:30:00	CRFP 0506 EHP1900000002	3

BID RECEIVING LOCATION

BID CLERK
DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
2019 WASHINGTON ST E
CHARLESTON WV 25305
US

VENDOR

Vendor Name, Address and Telephone Number:

FOR INFORMATION CONTACT THE BUYER

April E Battle
(304) 558-0067
april.e.battle@wv.gov

Signature X Anthony [signature] **FEIN #** 13 - 3680154 **DATE** March 5, 2019

All offers subject to all terms and conditions contained in this solicitation

FORM ID : WV-PRC-CRFP-001

ADDITIONAL INFORMATION:

Addendum No. 2 - to issue the responses to vendor questions and provide Attachment E in editable format.

The bid opening remains on March 5, 2019 at 1:30 pm.

ase note: Online responses have been prohibited through wvOASIS. In reference to Section 5.3 Proposal Format, Section 5.3.1 Two-Part mission: Vendors must submit proposals in two distinct parts: technical and cost. Technical proposals must not contain any cost information relating to the project. Cost proposal must contain all cost information and must be sealed in a separate envelope from the technical proposal to facilitate a secondary cost proposal evening. Vendor must utilize the provided attachments with their proposals. The proposals must be submitted on paper. Attachment D1, D2, and D3, should also be submitted in Excel format on a CD in addition to the paper original. Failure to utilize the attachments may disqualify the respondent.

No other changes.

INVOICE TO		SHIP TO	
PURCHASING DIRECTOR 304-356-4116		PURCHASING DIRECTOR 304-356-4116	
HEALTH AND HUMAN RESOURCES		HEALTH AND HUMAN RESOURCES	
BPH - VITAL RECORDS		BPH - VITAL RECORDS	
350 CAPITOL ST, RM 165		350 CAPITOL ST, RM 165	
CHARLESTON	WV25301-3701	CHARLESTON	WV 25301-3701
US		US	

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	Electronic Vital Records System (EVRS) Implementation				

Comm Code	Manufacturer	Specification	Model #
80111713			

Extended Description :

tronic Vital Records System (EVRS) Implementation

Contract is for period of seven (7) years with three (3) optional renewals.

See Attachment E within document attachments for Cost Proposal template.

SCHEDULE OF EVENTS

Line	Event	Event Date
1	Questions Due	2019-02-05

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

Addendum Acknowledgement Form

A completed *Addendum Acknowledgement Form* follows this page.

ADDENDUM ACKNOWLEDGEMENT FORM SOLICITATION
NO.: CRFP 0506 EHP1900000002

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:
(Check the box next to each addendum received)

X☐Addendum No. 1
X☐Addendum No. 2
☐Addendum No. 3
☐Addendum No. 4
☐Addendum No. 5
☐Addendum No. 6
☐Addendum No. 7
☐Addendum No. 8
☐Addendum No. 9
☐Addendum No. 10

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

Netsmart Technologies, Inc.
Company

Authorized Signature

March 5, 2019
Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.

Solicitation Documents Part 1_Required Signatures

All required signatures included in the *Solicitation Documents Part 1* document follow this page.

Example:

Proposal 1 Cost is $1,000,000
Proposal 2 Cost is $1,100,000
Points Allocated to Cost Proposal is 30

Proposal 1: Step 1 - $1,000,000 / $1,000,000 = Cost Score Percentage of 1 (100%)
Step 2 - 1 X 30 = Total Cost Score of 30

Proposal 2: Step 1- $1,000,000 / $1,100,000 = Cost Score Percentage of 0.909091 (90.9091%)
Step 2 - 0.909091 X 30 =Total Cost Score of 27.27273

6.8. Availability of Information: Proposal submissions become public and are available for review immediately after opening pursuant to West Virginia Code §SA-3-1 l(h). All other information associated with the RFP, including but not limited to, technical scores and reasons for disqualification, will not be available until after the contract has been awarded pursuant to West Virginia Code of State Rules §148-1-6.3.d.

By signing below, I certify that I have reviewed this Request for Proposal in its entirety; understand the requirements, terms and conditions, and other information contained herein; that I am submitting this proposal for review and consideration; that I am authorized by the bidder to execute this bid or any documents related thereto on bidder's behalf; that I am authorized to bind the bidder in a contractual relationship; and that, to the best of my knowledge, the bidder has properly registered with any State agency that may require registration.

Netsmart Technologies, Inc.
(Company)

Anthony Ritz, Chief Financial Officer
(Representative Name, Title)

Phone: 800.842.1973 Fax: 913.696.3492
(Contact Phone/Fax Number)

March 5, 2019
(Date)

DESIGNATED CONTACT: Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.

Anthony Ritz, Chief Financial Officer
(Name, Title)

Anthony J. Ritz, Chief Financial officer
(Printed Name and Title)

4950 College Blvd., Overland
Park, KS 66211
(Address)

Phone: 800.842.1973
Fax: 913.696.3492
(Phone Number) / (Fax Number)

mgoad@ntst.com
(email address)

CERTIFICATION AND SIGNATURE: By signing below, or submitting documentation through wvOASIS, I certify that I have reviewed this Solicitation in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that I am authorized by the vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on vendor's behalf; that I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

Netsmart Technologies, Inc.
(Company)

(Authorized Signature) (Representative Name, Title)

Anthony Ritz, Chief Financial Officer
(Printed Name and Title of Authorized Representative)

March 5, 2019
(Date)

Phone : 800.842.1973 Fax: 913.696.3492
(Phone Number) (Fax Number)

Solicitation Documents Part 2

A completed *Solicitation Documents Part 2* follows this page.

ATTACHMENT B - MANDATORY REQUIREMENTS

RFP EHP1900000002, Electronic Vital Registration System (EVRS)
for State of West Virginia Department of Health and Human Resources

SECTION 1: MANDATORY REQUIREMENTS

UNLESS YOU POSSESS, AND CAN DEMONSTRATE THE FOLLOWING MANDATORY MINIMUM QUALIFICATIONS, DO NOT SUBMIT AN OFFER.

The following specifications are MANDATORY REQUIREMENTS. To be considered responsive for award, the Respondent must be able to demonstrate through the technical response each of the requirements as stated below. Mandatory requirements must be met and demonstrable at the time of proposal submission. Failure to meet any of the mandatory requirements listed below will result in disqualification of the proposal:

Mandatory Project and Qualification/Experience Requirements

Please indicate your responses in the table below in support of the meeting the minimum mandatory requirements. **Do not** provide **ANY** additional information other than that requested in the column entitled "Evidence". Failure to follow this instruction may result in disqualification of the proposal.

Item #	Requirements	Yes/No	Evidence/Confirmation
4.2.2.1	The Vendor must have successfully implemented a web EBRS that is currently in production in at least 2 states within the United States, or 2 countries or 2 Canadian provinces within the last 5 years.	Yes	**(List the State/Country/Province and Date)** State of Alaska – March of 2014 State of Iowa – June of 2015
4.2.2.2.	The Vendor must have successfully implemented a web EDRS that is currently in production in at least 2 states within the United States, or 2 countries, or 2 Canadian provinces within the last 5 years.	Yes	**(List the State/County/Province/Date)** State of Alaska – August of 2014 State of Iowa – May of 2014
4.2.2.3	The Vendor must have successfully implemented web Fetal Death	Yes	**(List the State/County/Province/Date)** State of Alaska – June of 2016

	Registry that is currently in production in at least 2 states within the United States, or 2 countries, or 2 Canadian provinces within the last 5 years.		State of Iowa – December of 2015
Item #	Requirements	Yes/No	Evidence/Confirmation
4.2.2.4	The vendor must have successfully implemented a web ITOP that is currently in production in at least 2 states within the United States, or 2 countries or 2 Canadian provinces within the last 5 years.	Yes	**(List the State/Country/Province and Date)** State of Alaska – June of 2016 State of Iowa – October of 2017
4.2.2.5	The vendor must have successfully implemented a web Point of Sale system that is currently in production in at least 2 states within the United States, 2 countries or 2 of the Canadian provinces within the last 5 years.	Yes	**(List the State/County/Province/Date)** State of Alaska – March of 2014 State of Iowa – May of 2014
4.2.2.6	Items 1 – 5, at a minimum, must be fully web based and must have an integrated database.	Yes	**(List the State/County/Province) and where items 1-5) are integrated into one system and one database.** State of Alaska State of Iowa
4.2.2.7	All functions within the system must be appropriately adaptive (mobile ready) to function properly on a desk top; a tablet and a mobile device.	Yes	**Provide a brief (1-2 paragraphs) explaining the adaptive nature of your system for desktops; tablets and mobile devices.** Netsmart's current vital records system is engineered with current technology platforms that enable the solution to be a true web-based system. HTML5 design drives the user presentation which affords the system to operate on a variety of platforms and browsers such as standard work-stations, tablets and smart devices. Current browsers supported for these platforms are: Internet Explorer (> IE 11), Chrome and Safari. Additionally, with our proprietary screen designer, the user's experiences remain consistent across the various platforms/browsers. It allows the State and Netsmart to tailor

			and further enhance the GUI screens, user roles definitions and to also enforce business rules by way of cross field edits, work queues, etc.
4.2.2.8	The vendor must have successfully migrated historical images from multiple sources and linked them with the appropriate event records in at least 2 states within the United States, or 2 countries, or 2 Canadian provinces within the United States, or 2 countries, or 2 Canadian provinces within the last 5 years.	Yes	**(List the State/County/Province and Date)** State of Alaska – November of 2014 State of Iowa – June of 2015
4.2.2.9	The vendor must have successfully migrated vital records data from multiple systems and sources into the Electronic Vital Registration System (EVRS) in at least 2 states within the United States, or 2 countries, or 2 Canadian provinces within the last 5 years.		**(List the State/Country/Province and Date)** State of Alaska – March of 2014 State of Iowa – May of 2014
4.2.2.10	The system must have and maintain all the National Center for Health Statistics (NCHS) edits.	Yes	
Item #	Requirements	Yes/No	Evidence/Confirmation
4.2.2.11	The solution must interface with the State and Territorial Exchange of Vital Events (STEVE).	Yes	**Provide a minimum of 1 and a maximum of 3 examples where you have successfully interface with STEVE. Please limit your response to 1 page.** For the clients listed in sections 4.2.2.1-9 (State of Alaska and State of Iowa), Netsmart has successfully configured and implemented all capabilities required for inter-jurisdictional exchanges via STEVE. The same is true for every Netsmart supported client at the time of their Production roll-out for: birth, death and fetal death vital record systems. Netsmart provides the State a working STEVE interface template for Birth, Death and Fetal Death, but we also devote

			sufficient project time to test and confirm all required data elements are properly accounted for in the STEVE exchanges prior to productive use. STEVE exchanges allow the State to provide NCHS the information they require for their statistical analysis and also enables States to share that information in bi-directional fashion with other reporting jurisdictions.
4.2.2.12	The solution must interface with Electronic Verification of Vital Events (EVVE).	Yes	**Provide a minimum of 1 and a maximum of 3 examples where you have successfully interface with EVVE. Please limit your response to 1 page.** For the clients listed in sections 4.2.2.1-9 (State of Alaska and State of Iowa), Netsmart has successfully configured and implemented all capabilities required for data exchanges via EVVE. The same is true for every Netsmart supported client at the time of their Production roll-out. • Netsmart supplies EVVE vendor(s) the necessary schema for the database table(s) and fields required for operational EVVE queries (e.g. birth, death tables). • EVVE's access to the database tables and fields are approved and sanctioned by the client.
4.2.2.13	The solution must interface with VitalChek certificate ordering.	Yes	**Provide a minimum of 1 and a maximum of 3 examples where you have successfully interface with VitalChek. Please limit your response to 1 page.** For the clients listed in sections 4.2.2.1-9 (State of Alaska and State of Iowa), Netsmart has successfully configured and implemented all capabilities required for data exchanges via EVVE. The same is true for every Netsmart supported client at the time of their Production roll-out. Netsmart's Vital Records System is pre-packaged to include the necessary VitalChek integration and interfaces that allow

			processing of all VitalChek requests for subsequent issuance by the State. Netsmart and the State will devote sufficient project time to implement, test and certify VitalChek's operational readiness prior to Go-Live.
4.2.2.14	The solution must interface with On-line Verification System (OVS).	Yes	**Provide a minimum of 1 and a maximum of 3 examples where you have successfully interface with OVS. Please describe the process used. Please limit your response to 1 page.** Netsmart's Vital Records System is pre-packaged to include the necessary EDRS configuration and connections required for OVS2 processing. As a result, every Netsmart client who implements an Electronic Death Registration System (EDRS) is enabled to exchange decedent information with SSA's on-line verification system (OVS2). In order to integrate OVS2 with Netsmart's EDRS, we work with the client/State to first establish a relationship with the Social Security Administration by way of a project kick-off meeting. The attendees for this meeting include: SSA, NAPHSIS, the State and Netsmart associates. At the close of the project kick-off meeting, the State will be provided: team contact information, a technical form to document network information for the systems that will exchange OVS2 data and a memorandum of understanding between (MOU) SSA and the State. Upon successful submission of the technical and MOU forms, the State will be provided the OVS2 installation package which Netsmart and the State will collectively install and test if the State chooses to self-host their EDRS. In the case of Netsmart hosting EDRS, the installation and testing procedures will be conducted by Netsmart staff. Following installation of OVS2, the State/Netsmart and SSA

			will conduct a ping test to ensure that both systems are communicating with the prescribed protocols. With this short exercise completed, the next step will be validation testing. Validation testing includes entering records from test decks supplied by SSA. The test cases are entered into the EDRS where data elements required by OVS2 are transmitted to SSA for validation against their test system. The main purpose of this exercise it to confirm that EDRS and SSA are properly communicating and updating the EDRS tables with OVS2 status values. Integration testing follows validation testing and this exercise is conducted by a NAPHSIS representative who also enters test scenarios into EDRS to further confirm business rules are adhered based on status values returned by OVS2. Validation and Integration must be successfully completed before two final tests are conducted: DFState file transmission and SSA System Failure recovery. The DFState file transmission involves querying the EDRS for previously entered test case records in order to produce a flat-file that is provided to SSA. The contents of this flat-file are used by SSA to confirm and "close out" previously transmitted OVS2 information. The SSA System Failure Recovery testing is conducted between technical staff from both the State/Netsmart and SSA. This short testing exercise confirms both systems are able to detect and recover from scheduled or unscheduled system downtimes. With the above testing phases successfully completed, SSA & NAPHSIS will certify the State/Netsmart's readiness for Productive use. Ordinarily, SSA prescribes approximately 12 weeks to complete testing phases described above.

4.2.2.15	The solution must work in Safari, Chrome, Internet Explorer (IE).	Yes	**Please confirm that your solution will work in the browsers listed.** Netsmart's Vital Records System has been fully tested to operate in all of the three listed browsers (Safari, Chrome, Internet Explorer (IE 11.0 or later).
4.2.2.16	The vendor shall provide to the State, simultaneous with its initial installation, and any subsequent enhancements, upgrades, fixes, etc., software tools (including, but not limited to compilers, editors, etc.) that would be required to maintain or enhance the vendor hosted customized software.	Yes	Netsmart will provide annual maintenance and support on an annual basis as defined with our agreed upon maintenance and support contract. This maintenance agreement will include the following: • Product/Solution enhancements that are globally available to Netsmart's client base • Provisions for updating the State's Vital Record System to adhere to new NCHS/CDC standards • Provide level-2 help desk support systems Monday – Friday, 8:00am – 6:00pm EST excluding State, Federal and Netsmart holidays
4.2.2.17	Escrow for Source Code: In the event the vendor at any point during the continued installation and operation of the software herein acquired discontinues the conduct of business or for any other reason fails to continue to support the software, the state shall be provided a copy of the source code for said software within thirty days at no expense to the State.	Yes	Netsmart has established a source code escrow program with an affiliate of Iron Mountain Incorporated ("Escrow Agent") under which it has deposited a copy of the Licensed Software source code and source code documentation in electronic format with the Escrow Agent. Netsmart deposits with the Escrow Agent, updates, changes, alterations, or modifications to the code for the Licensed Software on a quarterly basis. The terms of the Iron Mountain escrow program provide for release of the source code materials to a named beneficiary under the escrow program in the event any of the following occur: (i) Entry of an order for relief under Title 11 of the United States Bankruptcy Code; (ii) The making by Netsmart of a general assignment for the benefit of creditors; (iii) The appointment of a general receiver or trustee in bankruptcy of Netsmart's business or property; or (iv) Action by Depositor under any state or federal insolvency or similar law for the purpose of its

			bankruptcy, reorganization, or liquidation. As a beneficiary under this program, once the source code is released to you, you have the right to use the source materials as needed to continue to enjoy the benefits afforded to you under the License Agreement but are required to maintain the confidentiality of the source code, and not to use it for any other purpose (for example, no resales, distribution, or similar commercial purposes not contemplated by the license). Netsmart can add the State of West Virginia Department of Health and Human Resources to its source code escrow program with a third party escrow agent to give you access to the full source code in the event that Netsmart files for bankruptcy or discontinues support for the product. However, please note that clients are contractually prohibited from modifying the source code if they wish to receive support services from Netsmart. Our standard license agreements that are normally signed post-RFP award include language regarding participation in our Escrow Program. Netsmart can extend our Escrow Program to the State of West Virginia Department of Health and Human Resources. If special terms are required, they must be negotiated between the State of West Virginia Department of Health and Human Resources, Netsmart and Iron Mountain. Custom escrow arrangements may incur additional fees.
4.2.2.18	The vendor shall provide a list of at least three (3) clients for whom the vendor has provided products and/or services requested in this RFP. References provided will be contacted during evaluation of the vendor submitted RFP.		**(List the State/Country/Province and Date)** State of Iowa, Department of Public Health. United States, 2016 State of South Dakota, Department of Health. United States Florida Department of Health – Office of Vital Statistics. United States, 2018
Item #	Requirements	Yes/No	Evidence/Confirmation

4.2.2.19	The vendor shall adhere to specified security controls as well as state and federal regulations identified in Attachment I.	Yes	Netsmart will adhere to specified security controls as well as state and federal regulations identified in Attachment I.
4.2.2.20	The vendor shall agree to the Software as a Service Addendum as described in Attachment J.	Yes	Netsmart agrees to the Software as a Service Addendum as described in Attachment J.
4.2.2.21	The vendor shall use the response templates provided in section 5.3 for their proposal.	Yes	Netsmart's responses are delivered in the templates provided in section 5.3.
4.3.2.1	The Vendor Project Manager must have a minimum of 2 years of experience managing a vital records project	Yes	The named Project Manager in Section 6: Proposed Project Team has more than 15 years of experience managing vital records projects.
4.3.2.2	All key project staff must be identified for each event module (EDRS, EBRS, EFDS, ITOP, POS, and data conversion) and must have a minimum of 2 years of experience adapting the event workflows and configuring the event for other states within the United States, or Canadian Provinces or other countries. If key personnel are replaced, the replacement must have a comparable skill and experience level.	Yes	We will assemble an experienced, well-qualified team for your implementation who understands each event module. All team members identified in Section 6: Proposed Project Team have the required minimum of 2 years of experience desired by the State. Netsmart will ensure any replacement key personnel also meet the State requirements.

ATTACHMENT C - BUSINESS PROPOSAL

RFP EHP1900000002, Electronic Vital Registration System (EVRS)

Instructions: Please include responses to the questions in the shaded fields of this attachment and reference any attachments provided.

1. **General** - Please introduce or summarize any information the Respondent deems relevant or important to the State's successful acquisition of the products and/or services requested in this RFP.

Throughout the entirety of this response you will see that Netsmart not only has the capability of delivering the State's requirements to satisfaction, but also that Netsmart is the most experienced in doing so. With over 30 years' experience in the vital records community, and currently supporting 13 state vital records agencies and HHC, Netsmart leads the way in technology advancements with VRS. Netsmart's best evidence of ability to deliver the solutions and services sought by this RFP is our consistent track record of success in similar engagements. Netsmart VRS is in use or being implemented in 13 state vital records organizations and that number is continuing to grow. We at Netsmart strongly believe that we are the most qualified partner to ensure the success of the State's project. Please review the "Experience Serving Public Sector & Vital Records Clients" section below for more detail on our specific qualifications and experience which directly benefits the WV VRO.

2. **Respondent's Company Structure** - Please include in this section the following:

   1) Identify the legal form of the Respondent's business organization,
   2) Identify the state in which formed (accompanied by a certificate of authority),
   3) Identify the types of business ventures in which the organization is involved, and
   4) Provide a chart of the organization. If the organization includes more than one **(1)** product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization.

   Please enter your responses below and indicate if any attachments are included.

1) Netsmart Technologies, Inc. is a privately held C-Corporation. Netsmart Technologies, Inc. incorporates the concept of Company Business Units (CBUs). This enables us to focus on the communities that we serve. Netsmart is a matrix organization that does not adhere to a traditional hierarchical structure. As a result, associates are empowered to reach across the organization to find solutions to problems, suggest improvements, and coordinate milestone deliveries across the CBUs. The Netsmart Cabinet (our executive leadership team) is comprised of key company executives who set the strategic direction of the company.
2) Netsmart was incorporated in January 1994 in Delaware. Netsmart has been serving the health and human services community and its customers since 1968. Prior to 1996, Netsmart was known as Creative Socio-Medics, Corp.
   A copy of our certificate of authority is included in the attachments section of this response.
3) The communities Netsmart serves include Addiction Treatment, Behavioral Health, Child & Family Services, Long-Term Care, Intellectual & Developmental Disabilities, Public Health, Public Sector, and Home Health & Hospice.
   Solutions Netsmart offers include the following:
   - Electronic Health Records (CareRecords)
   - Vital Records System (VRS)
   - Care Coordination (CareManager)
   - Connectivity & Integration (CareConnect)
   - Data & Analytics (Benchmarking, Analytics)

- Consumer Engagement (myHealthPointe)
- Mobile APPS/POV (Mobile Apps, Primary Care)
- IT Management Services (AMS, Help Desk, IT Leadership, Hosting)
- Revenue Cycle (Revenue Cycle Management, Payer Solutions)
- Training & Certification (Learning Services, eLearning)
- Other Solutions (Facilities Management, Enterprise Content Management, Enterprise System Management)

4) Our corporate structure is provided above. The executive management organization chart follows:

3. **Company Financial Information** -This section should include the Respondent's financial statements, including 1) an income statement and 2) balance sheet, for each of the two (2) most recently completed fiscal years.

   The financial statements should demonstrate the Respondent's financial stability. If the financial statements being provided by the Respondent are those of a parent or holding company, additional financial information should be provided for the entity/organization directly responding to this RFP.

As a private corporation, Netsmart does not provide financial reports/statements without a non-disclosure agreement in place. Upon execution of an NDA, we can provide our full financial reports/statements for your review. Our most recent audited financial statements show consistent growth in revenue and Adjusted EBITDA over the last three years.

We can assure you that as one of the largest and longest standing IT companies in the behavioral health industry, Netsmart has the financial strength, capacity, and experience to help you address your short- and long-term requirements. Netsmart works with thirty-eight states and over fifty counties nationally with various solutions. We have proven our financial strength and capacity to each of these public sector organizations' satisfaction. We are confident that we can do the same for State of West Virginia and we will meet your short- and long-term requirements.

4. **Integrity of Company Structure and Financial Reporting** - This section should include a statement indicating that the CEO and/or CFO has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal.

   The areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, the separation of audit functions, and consulting services.

   Please enter your response below and indicate if any attachments are included.

   The Sarbanes Oxley Act of 2002, H.R. 3763, is NOT directly applicable to this procurement; however, its goals and objectives may be used as a guide in the determination of corporate responsibility for financial reports.

Netsmart's CFO has taken responsibility for the thoroughness and correctness of financial information supplied with this proposal.

5. References

The State requires that the Respondent must have served **three (3) clients**, two (2) of which must be from the states, countries or Canadian provinces lists in the vendor's response to the Mandatory Requirements for whom the Respondent has provided products and/or services that are the same or similar to those products and/or services requested in this RFP. Any state government for which the respondent has provided these products and services should be included.

Reference 1	
Legal Name of Company or Governmental Entity	State of Iowa, Department of Public Health
Company Mailing Address	Lucas State Office Building 321 E 12th Street
Company City, State, Zip	Des Moines, IA 50319-9010
Company Website Address	
Contact Person Name/Title	Jennie Evans, Project Manager
Company Telephone Number	(515) 281-7282
Company Fax Number	
Contact E-mail	jevans@idph.state.ia.us
Industry of Company	State Vital Records
Description of the products or services	VRS Framework, EBRS, EDRS, Fetal Death, ITOP, Marriage, Divorce, CAS

Reference 2	
Legal Name of Company or Governmental Entity	State of South Dakota, Department of Health
Company Mailing Address	207 E Missouri Ave
Company City, State, Zip	Pierre, SD 57501-3293
Company Website Address	
Contact Person Name/Title	Mariah Pokorny, State Registrar
Company Telephone Number	(605) 773-4071
Company Fax Number	(605) 773-2680
Contact E-mail	mariah.pokorny@state.sd.us
Industry of Company	State Vital Records
Description of the products or services	VRS Framework, EBRS, EDRS, Fetal Death, Marriage, Divorce, Birth Defects, CAS

Reference 3	
Legal Name of Company or Governmental Entity	Florida Department of Health – Office of Vital Statistics
Company Mailing Address	P.O. Box 210
Company City, State, Zip	Jacksonville, FL 32202
Company Website Address	www.flhealth.gov
Contact Person Name/Title	Ken Jones – State Registrar
Company Telephone Number	(904) 359-6982
Company Fax Number	(904) 359-6931
Contact E-mail	ken_jones@flhealth.gov

Industry of Company	State Vital Records
Description of the products or services	EBRS, EDRS, Fetal Death, Marriage, Divorce, CAS

Reference 4 (Optional)	Alaska Department of Health & Social Services
Legal Name of Company or Governmental Entity	5441 Commercial Boulevard
Company Mailing Address	Juneau, AK 99801
Company City, State, Zip	alaska.gov
Company Website Address	Heidi Lengdorfer / Chief – Bureau of Vital Statistics
Contact Person Name/Title	(907) 465-8643
Company Telephone Number	N/A
Company Fax Number	heidi.lengdorfer@alaska.gov
Contact E-mail	State Vital Records
Industry of Company	EBRS, EDRS, Fetal Death, Marriage, Divorce, ITOP, CAS
Description of the products or services	Alaska Department of Health & Social Services

Reference 5 (Optional)	
Legal Name of Company or Governmental Entity	
Company Mailing Address	
Company City, State, Zip	
Company Website Address	
Contact Person Name/Title	
Company Telephone Number	
Company Fax Number	
Contact E-mail	
Industry of Company	
Description of the products or services	

Reference 6 (Optional)	
Legal Name of Company or Governmental Entity	
Company Mailing Address	
Company City, State, Zip	
Company Website Address	
Contact Person Name/Title	
Company Telephone Number	
Company Fax Number	
Contact E-mail	
Industry of Company	
Description of the products or services	

6. Registration to do Business - Secretary of State

If awarded the contract, the Respondent will be required to be registered, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations, and limited liability companies. The respondent should indicate the status of registration, if applicable, in this section of the proposal.

> Netsmart is registered to conduct business in the State of West Virginia as evidenced by the *West Virginia State Tax Department Business Registration Certificate* in the Attachments section.

7. General Information Section-

Each Respondent should enter its company's general information including contact information.

Legal Name of Company	Netsmart Technologies, Inc.
Contact Name	Megan Seiple
Contact Title	Client Alignment Executive
Contact E-mail Address	MGoad@ntst.com / DL_PublicSector_RFP_Contact@ntst.com
Company City, State, Zip	Overland Park, KS 66211
Company Telephone Number	800-842-1973
Company Fax Number	(913) 696-3492
Company Website Address	www.ntst.com
Number of Employees (company)	1700+
Years of Experience	50
Number of U.S. Offices	13
Year Indiana Office Established (if applicable)	Not applicable
Parent Company (if applicable)	Not applicable
Revenues ($MM, previous year)	Netsmart does not provide financial reports/statements without a non-disclosure agreement in place. Upon execution of an NDA, we can provide our full financial reports/statements for your review.
Revenues ($ MM, 2 years prior)	See above.
% of Revenues from West Virginia customers	See above.

8. **Experience Serving State Governments** - Please provide a brief description of your company's experience in serving state governments and/or quasi-governmental accounts.

Netsmart has unparalleled experience with public sector organizations, installing our first statewide system for the Commonwealth of Kentucky in 1984. Netsmart is experienced with public sector contract policy, procedures and funding practices, and human service systems with clients in 40 states, more than 200 counties and 130 local public health districts including:

- The County of Los Angeles Department of Mental Health, where Netsmart solutions support more than 200 city operated clinics, 500 contract agencies and more than 10,000 users, all in Netsmart's Plexus Cloud environment.
- Other county-operated systems, including 23 in California (such as San Francisco, Monterey, San Mateo and Sacramento) as well as 21 local public health districts in Michigan.
- 40 state behavioral health systems including New Mexico, Arizona, Nevada, Wyoming, Texas, Oklahoma, Georgia and Oregon.
- Several statewide public health systems including Tennessee, and Nevada (for Vital Records).

Our ability to serve in the government sector is founded on the principles of operating flexibility, consideration of budgetary constraints, long-term partnership (where most contracts exceed 10 years) and understanding of public sector processes. As a long term member of the National Association of Counties and the sponsor of public sector user associations within the Netsmart community, Netsmart brings years of experience with government / county public health organizations to your implementation.

9. **Experience Serving Vital Records Clients** - Please describe your company's experience in serving vital records customers of a similar size to the State with similar scope. Please provide specific clients and detailed examples.

With over 30 years' experience in the vital records community, and currently supporting 13 state vital records agencies and HHC, Netsmart leads the way in technology advancements with VRS. Beginning with a green-screen system, we evolved over several generations of technology, beginning with a mainframe system, and evolving to today's browser-based system.

Netsmart's best evidence of ability to deliver the solutions and services sought by this RFP is our consistent track record of success in similar engagements. Netsmart VRS is in use or being implemented in 13 state vital records organizations. In each of these engagements, Netsmart provided project management, data conversion, configuration, installation assistance, testing, and training services as also required by this RFP. For purposes of our RFP response, Netsmart will highlight a VRS implementation with the State of Iowa and the State of Alaska as clients that closely mimic the requirements of West Virginia and how Netsmart and those clients partnered to implement their state-wide enterprise vital records system.

Netsmart's methodology for implementing a vital records system starts with a product that is preconfigured to adhere to NCHS 2003 and NAPHSIS standards for Birth, Death and Fetal Death modules. By starting with this foundation, Netsmart and our clients have a means to first understand Netsmart's COTS product and explore the additional requirements that further define the client's unique business processes during the Gap Analysis phase of the implementation.

During Gap Analysis, our clients are required to produce:

- Copies of all documents/certificates, reports, letters, etc. that are to be configured into the new Netsmart VRS.
- Business workflow diagrams that define how and when vital record information is entered into the system towards eventual registration and issuance.
- User roles definitions (e.g. birth clerks, funeral homes, medical certifiers, local and state registration, business partners).

It's during this critical project phase that Netsmart and our clients are able to solidify how Netsmart will configure each module for our clients. In the case of Alaska and Iowa, it was not surprising to uncover that certification and registration processes varied. In the cases of Alaska and Iowa, it was necessary to conduct multiple on-site gap analysis sessions – each lasting no less than 1 week.

The Gap Analysis phase is concluded upon both the client and Netsmart approving a Gap Analysis document that becomes the final blueprint for the next phase of the project: configuration, design review and final acceptance.

During the Configuration project phase, Netsmart begins the effort to augment our standard COTS solution to adhere to our client's unique requirements that include:

- GUI Screen designs for the Birth, Death, Fetal Death, ITOP, CAS (Issuance) and the embedded business rules. In the case of our Alaska and Iowa clients, the design of their VRS varied based on their unique business requirements by way of information collected and reported for each of their systems
- Certificates, documents, reports, extracts/imports
- Data exchanges that include: OVS2, VIEWS2, STEVE, EVVE, and other business partners. There is very little variance in how the standard interfaces listed are configured for our clients since they are based on standards prescribed by NCHS, SSA, etc., but we always devote sufficient project time to confirm compliance through rigorous testing.

The configuration phase of the project includes a scheduled periodic design review (typically occurring every two (2) weeks) with our clients which ensures that configuration of the VRS is adhering to the requirements specified within the Gap Analysis document. The value of these review sessions for our clients is that they ensure Netsmart is configuring the client's VRS to the requirements specified in the Gap Analysis document. Ongoing configuration design reviews are conducted via "Go to Meeting / Webinar" sessions.

Running parallel during the configuration phase of Netsmart's implementation is the planning and execution of converting all legacy data. Essential for the successful data conversion is the construction of a data map which itemizes each legacy data element that will be converted into the new VRS. Legacy data is comprised of not only event data such as birth and death, but also what we term "reference or validation data" (i.e., lists of facilities such as birthing centers, funeral homes). Typically, Netsmart and our clients budget approximately 3-4 iterations of data conversion to ensure all legacy data is properly converted into the new system.

In the case of our Alaska client, their legacy data had been stored in multiple databases due to the existence of multiple VRS applications.

At the point when both teams have confirmed final acceptance of system configuration and data conversion, planning and training begins for user acceptance testing (UAT) and pilot testing.

At the outset of UAT, Netsmart provides on-site training to a group of subject matter experts (in the case of Alaska and Iowa this was comprised of State registrar individuals along with several external stakeholders (e.g. hospital and funeral home users). UAT training normally requires no more than 1 week of on-site training.

Before UAT training begins, the client should have completed construction of their comprehensive test scripts. The effort to construct the test scripts should coincide with the recurring design reviews and the training exercise should confirm the accuracy of those scripts.

Prior to preparation for Go-Live, Netsmart will provide training services which can occur in several forums:

- Train the Trainer where Netsmart trains select individuals (usually State personnel) who in turn will train the masses of end-users
- Instructor Led Training (ILT) where Netsmart associates schedule training sessions across the user community. In the case of Iowa, this training required approximately 6 weeks to complete
- Web Based Training (WBT). Netsmart constructs training material that is presented to the end-users via myLearningPointe sessions. While this option of training involves more time and expense, it is useful as means for re-training end-users and ensuring users are deemed competent to operate the VRS.

The last project phase during the implementation is the Go-Live preparation and execution. Both Netsmart and the client must agree that all facets of the system are ready for productive use. Go-Live can occur in either phases or in one "big bang" phase. Netsmart has experience with both types of Go-Live exercises and we work with our clients to arrive at the best approach.

Following Go-Live, there is a negotiated stabilization period during which minor fixes and updates are applied to the system.

Netsmart has the depth and breadth of resources to successfully implement multiple state projects simultaneously while also bringing executive leadership into the project as needed. Our references will confirm our commitment to stable, long-term business relationships and that Netsmart is the right partner for this project.

ATTACHMENT D -TECHNICAL PROPOSAL

RFP EHP1900000002, Electronic Vital Registration System (EVRS) for State of West Virginia Department of Health and Human Resources

Instructions: The Technical Proposal should address all topics below. **Failure to provide responses to all required fields may result in the proposal being eliminated from consideration.** Please provide responses in the shaded fields of this attachment. Additional pages may be attached as necessary but should be referenced in the response field.

SECTION 2: MILESTONE QUESTIONS

Question 1: Planning and Administration (Milestone 1)

The Scope of Work provides an overview of the purpose of Milestone 1 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Immediately following contract signing and project kickoff, Netsmart's assigned project manager will collaborate with the States' assigned project manager to begin the construction of the Project Charter. The Project Charter is a collaborative document that provides definition and guidance for the implementation of the project. The contents of the Project Charter include:

- i. Executive Summary
  - a. Description of purpose of document
- ii. Project Description and Scope
- iii. Deliverables
  - a. To State
  - b. From State
- iv. Project Approach
  - a. Project Lifecycle Process
  - b. Project management Process
  - c. Project Support Project
  - d. Organization
- v. Communication Plan
- vi. Resources
- vii. Milestones
- viii. Risks, Assumptions, & Constraints
- ix. Change Control
- x. Acceptance
- xi. Appendix A – Microsoft Project Plan
- xii. Appendix B – Status Report Template
- xiii. Appendix C – Acceptance Template

Netsmart's project manager will plan to work side by side with the State's project manager with constructing each of the document deliverables defined in Milestone 1. Netsmart possesses starter templates for a majority of the document deliverables required in Milestone1 which will serve as a foundation for the State's specific document content. Netsmart will facilitate bi-monthly Project Status Meetings through "Go to Meeting" sessions, project status meetings that will be held on the 1st and 15th of each month. If either of the calendar dates fall on a non-working day, Netsmart and the State will mutually agree on an alternative date. Netsmart participants for these bi-monthly calls will be the project manager and the solutions architects who have tasks within the current project phase. Netsmart will provide a meeting agenda. Minutes taken during project status meetings are made available within three (3) working days following the meeting. Netsmart will provide the State written semi-monthly project status reports that cover the project periods: 1st through the 15th of the month; 16th through the end of the month. The status reports will contain detailed content on tasks completed since last meeting and tasks scheduled for next period, approaching or complete milestones, review of project plan, risk identification, change control identification, and attendees. Netsmart and the State will review the Master Project Plan to adjust timelines and project deliverables before the following project phase will begin.

Question 2: Confirmation of Business and System Requirements (Milestone 2)

The Scope of Work provides an overview of the purpose of Milestone 2 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Shortly after contract signing and project kickoff, Netsmart will build three (3) separate environments on a development server: Dev, Test, and Prod. The Dev region will be where Netsmart associates will perform the required configuration for each of the module/events delivered. The Test Region will mimic the Dev region during certain periods of the project phase and will effectively serve as a staging region which both Netsmart and the State will be able to access to determine configuration completeness. Prod will be a copy of the State's currently deployed solution as it exists at any point in time.

Netsmart will conduct an onsite review session where our system will be accessible for the purpose of demonstrating the COTS solution. This review will focus on all of the events and set up capabilities of the system. The goal of this session is to get the State implementation team familiarized with the COTS solution so they can navigate and enter data in the test system to explore the COTS solutions features.

Netsmart will follow this on-site review session with an on–site gap analysis (generally 2-4 weeks after the initial review). The Gap Analysis sessions will focus on the areas in which Netsmart identified Workflow/Configuration items. These items are the items that have been identified that need further definition and direction from the state. These items are discussed and the approach to accomplish the task will be documented. All Items are memorialized in Software Requirement Specification (SRS) documents. These documents will need agreement from the State before Netsmart starts configuration.

Question 3: Implementation of Hosted Environment (Milestone 3)

The Scope of Work provides an overview of the purpose of Milestone 3 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Netsmart Plexus™ Cloud offers a secure hosting environment for Netsmart VRS, as well as all your other enterprise applications used throughout an organization. Clients are hosted in fully redundant TIER 3 class data centers with SSAE18-certified operations. Plexus Cloud is a cost-efficient service that ensures information systems are accessible yet secure, allowing organizations to focus on their core mission: providing the highest quality care possible to the populations they serve. Netsmart will implement the three environments for the State: Production, Development and Test environment. Netsmart has near real time replication from our primary data center to our backup datacenter for our LIVE environment. This meets/exceeds the daily replication requirement for the State.

Summary of features:

- Reliability
- Redundancy throughout the production infrastructure
- Two TIER 3 class data centers in separate locations with multiple power and cooling sources

- Support, backup and disaster recovery
- 24/7 data availability backed by service level agreement
- Automatic installation of operating system, database and application software updates
- Full back up weekly, with incremental backups nightly and production database backup every 15 minutes

Compliance:

- SSAE18-compliant with annual third-party audit of all security/compliance controls
- HIPAA policy and methodology with third-party compliance audits conducted yearly
- HIPAA designed technology architectures (e.g., encrypted data at rest, transport)
- Meets or exceeds all HIPAA requirements

Question 4: Design and Configuration of Proposed Solution (Milestone 4)

The Scope of Work provides an overview of the purpose of Milestone 4 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

This milestone represents the majority of Netsmart's work effort related to configuring the modules/events testing and demonstrating the configured solutions. Netsmart will utilize the SRS documents to configure the system. In the project plan we include design review sessions for each module/event across all three project phases. Our experience has proven these iterative design sessions are invaluable to the progression of understanding and acceptance and results in high probability of on-time Go-Live activities. After Netsmart and the State conclude each design review session, Netsmart will provide the State a document of understandings for any aspects of the configuration that did not meet the SRS document. Any changes from the original SRS document will be reviewed and approved by the State and will follow the established change control procedure before Netsmart is able to proceed further with configuration of subsequent components required for the final module/event solution.

Question 5: Data Conversion and Migration (Milestone 5)

The Scope of Work provides an overview of the purpose of Milestone 5 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Netsmart uses a suite of tools and repeatable processes for data conversion that are designed to define the conversion process, document the conversion, repair some types of corrupt data, flag the records with specific errors found, identify converted records as converted, convert data for transport to customers, and efficiently load data at the customer site. The software supports both comma-delimited flat files and fixed position flat files, ADO databases, and spreadsheets. Detailed configuration/ data validation reports are built with each update of converted data.

Netsmart will help the State create a crosswalk document with a detailed field map showing each column in customer data and what tables and fields the data will be stored in including any code conversions and lookups. The State will then export the data in the agreed format for Netsmart to convert. Netsmart strongly suggests using the IJE STEVE (Standardized Inter-jurisdictional STEVE Extract) format for the Event data if available. Any and all additional fields can be appended to the end of this file or additional files can be used. Each row in the file(s) will contain the complete data set for each record. If a separate file is used, a link will be created between files; this will likely be the State File Number or some other unique identifier in the record.

JAD sessions will be implemented to facilitate the smooth conversion of the State's legacy data.

Each event will be considered a separate unit to be configured. The time to complete the conversions will vary based on the event size (number of fields in the event) and the complexity of the conversion and anomalies found. Older data will be more challenging but we have handled data from 1900 – present with minimal issues. Once an event is finalized, work can begin on the next event.

Question 6: User Acceptance Testing (UAT) (Milestone 6)

The Scope of Work provides an overview of the purpose of Milestone 6 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Netsmart will provide the services required for User Acceptance Testing. Netsmart will assist the State to develop a testing strategy and plan, to include review and approval of the State's UAT test scripts for user Acceptance Testing. The plan will include:

- An overview of the UAT exercise including scope, stakeholders involvement and timeframes;
- UAT Entrance and Exit Criteria;
- UAT Procedures;
- UAT Training Plan and Schedule; and
- UAT On-Site and Off-Site Support Procedures

Netsmart will also provide a written deficiency tracking process so that all issues identified by the State and reported to Netsmart are readily accessible and maintainable by the State and Netsmart. The user Acceptance Testing will include:

- User acceptance end-to-end testing
- Deficiency testing and fixes
- Final validation testing and fixes
- Data conversion testing

Netsmart will provide onsite resources for the durations defined in each of the project phases. These resources will be the same resources who were instrumental in configuration and delivery of the module/events tested.

Question 7: Training (Milestone 7)

The Scope of Work provides an overview of the purpose of Milestone 7 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Netsmart will provide training services as defined in the State's RFP – section Scope of Work – Milestone 7 – sub-sections a-g. Netsmart will provide training in the form of Train-the-Trainer sessions. Netsmart will also provide a deficiency tracking process so that all issues are identified and reported to Netsmart. The user acceptance testing will include:

- Netsmart shall deliver a training program for the State that is designed to meet the specific and unique business needs of the system, resulting in a solid understanding of the System across all stakeholders.
- Netsmart will develop, deploy, evaluate, and assess a training curriculum focusing on the training needs of the Agency and users.

Question 8: Documentation (Milestone 8)

The Scope of Work provides an overview of the purpose of Milestone 8 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Netsmart will provide training services by working collaboratively with the state Netsmart will develop a training plan that will be utilized for all training.

Train-the-trainer sessions are comprehensive workshops geared to prepare state staff assigned to assume the role of trainer. The workshops are developed using Netsmart's experience training Vital Records System end users. The following topics will be covered in addition to application training:

- Explanation of the training plan structure, methodologies, and materials.
- Discussion of West Virginia roles and role-based training.
- Motivating others to use the new system.
- Overview and use of the various methods of training, i.e., instructor-led face-to-face, instructor-led web-based, or web-based training.
- Explanation of the adult learner.
- Presentation tips.

Trainers are provided hard-copy and electronic copies of the comprehensive training packet.

Systems Administration Staff will receive training specific to their area of responsibility for the system. This training will occur in several segments covering various system capabilities and processes.

All training materials will be geared towards the appropriate audience and phase of the project.

Please see our response to technical question 11 for additional training information.

Question 9: Parallel Pilot (Milestone 9)

The Scope of Work provides an overview of the purpose of Milestone 9 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Netsmart will provide on-site support and services for 5 consecutive working days during the Pilot phase for all project phases. Netsmart will assist the State with constructing the documents and artifacts required during Pilot. The State will author these documents with Netsmart reviewing and approving the same. The Pilot plan will include:

1) Pilot Entrance and Exit Criteria;
2) Pilot Operating Procedures including Help Desk procedures;
3) Pilot Training Plan and Schedule; and
4) Pilot On-Site and Off-Site Support Procedures

The support will include:

1) Assisting users with understanding the functionality and practical use of the system;
2) Identifying defects to the system;
3) Resolving defects to the system;
4) Evaluating system effectiveness against the established pilot goals and exit criteria;
5) Revising pilot procedures as needed

6) Reviewing and evaluating the results of the parallel pilot.

Question 10: Production Implementation (Milestone 10)

The Scope of Work provides an overview of the purpose of Milestone 10 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Netsmart will participate closely with the State on evaluating Go-Live readiness and any contingencies. Netsmart will provide on-site support by Netsmart resources who were instrumental within the Project Phase underway for Go-Live activities. Netsmart will collaborate on the Go Live Implementation Plan that will include the following activities:

1) Go / No Go Criteria;
2) Go Live Procedures;
3) Roll-back criteria and procedures;
4) Training Plan and Schedule;
5) On-Site Support Procedures;
6) Help Desk Procedures; and
7) Off-Site Support Procedures.

Netsmart will provide Go-Live support as described above in Question 9. Netsmart will provide on-site support and services for 5 consecutive working days during the Pilot phase for all project phases. The support will include:

1) Assisting users with understanding the functionality and practical use of the system;
2) Identifying defects to the system;
3) Resolving defects to the system;
4) Evaluating system effectiveness against the established pilot goals and exit criteria;
5) Revising pilot procedures as needed
6) Reviewing and evaluating the results of the parallel pilot.

Question 11: System Warranty (Milestone 11)

The Scope of Work provides an overview of the purpose of Milestone 11 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Netsmart will provide support services, free of charge, for one (1) year following Go-Live of the modules/events delivered within each of the project phases. The warranty covers the following items:

- Final copies of system documentation and user procedures
- Completion of all end-user training with the understanding that train-the-trainer is the extent of Netsmart's standard training obligation. Should State opt-in for additional training Netsmart can provide all end user training on-site and through e-learning modules as agreed upon for best interest of the project and State as a whole.
- All modules/events with the completed project phase are operating as defined by the RFP requirements

Netsmart agrees that System Warranty includes unlimited phone and online support, fixes to bugs, updates and upgrades when necessary and available, access to technical support specific to the module/events under warranty, and access rights to downloading new system and/or configuration updates. Netsmart will provide support to the State Monday – Friday, 8am – 6pm EST except on days mutually defined between the State and Netsmart as holidays. In addition, release notes will be provided with each system update.

Question 12: System Maintenance Support (Milestone 12)

The Scope of Work provides an overview of the purpose of Milestone 12 and the tasks that would successfully execute the milestone. Please provide a brief (1-2 page) narrative expressing your plan for the milestone and associated tasks along with any details you wish to provide explaining your approach to conducting the activities associated with the milestone.

Netsmart will provide annual maintenance and support on an annual basis as defined with our agreed upon maintenance and support contract. This agreement will be renewable for up to 7 years and will include the following:

- Product/Solution enhancements that are globally available to Netsmart's client base
- 160 hours of enhancements specific to the State's Vital Records System. The hours provided on an annual basis are not transferrable to subsequent years
- Provisions for updating the State's Vital Record System to adhere to new NCHS/CDC standards
- Help desk support (2nd level) Monday through Friday 8 AM - 6 PM EST time, excluding State and Federal holidays.

SECTION 3: Technical Questions

Offeror's Technical Response should include a combination of narrative descriptions and tables for the following twelve (12) questions.

Technical Question One

Please provide a comprehensive narrative statement, not to exceed four (4) pages, that describes the methodology used to configure the system, the method by which the offeror will ensure the utilization and integration of the materials provided by the state, and the method by which the offeror's system development life cycle (SDLC) methodology and project management methodology support and complement each other. Offeror should illustrate how the methodology will serve to accomplish the work and meet the state's project schedule.

Netsmart uses the iterative Agile approach during the execution phase. The scope of the SDLC & SQAP includes definitions of the SDLC & SQA methodologies supported, roles and responsibilities, primary methodology, standards, artifacts, and processes to support the elements within the software development life cycle, such as:

- Primary methodology
- Planning & Definition
- Discovery
- Design & Development
- Test Management & Execution
- Documentation & Artifacts
- Standards, Procedures, & Process
- Control: Metrics, Tools, Reviews, and Audits

Netsmart employs state of the art software engineering and configuration to provide our clients a System Development Life-Cycle (SDLC) and approach that features industry best practices in fulfilling your requirements. We seek to right-size the initiative based on your requirements while offering the flexibility to prioritize functionality development/configuration to your advantage during the lifecycle. Netsmart expects to discuss such efficiencies with you during the Planning Stage of this project.

Technical Question Two

Provide a narrative, not to exceed one page that explains the Offeror's philosophy and approach to maintaining and upgrading the system including releases to the State. Please to address the following areas:

- Frequency of releases during the project phases;
- Frequency of new releases after go-live;
- Process used to determine what features will be included in each release pre and post go live;
- Support provided to clients during and after upgrades to a new release;
- Policy regarding mandatory upgrade to new releases;
- Policy on sharing new functionality between clients;
- Policy regarding client notification of potential impacts of new releases to the client's system; and
- Method that is recommended to keep changes to the configuration or tables made by the customer from interfering with the application of new releases.

Releases

The release method Netsmart employs comprises all SDLC stages which offer the ability to incrementally pre-test prior to UAT.

Netsmart expects that the frequency of releases prior to UAT relies on the clarity and universal understanding of your approved DOU gathered during Gap Analysis. The release types which summarize the requirement within each VRS Event are:

1. Configuration
2. Core VRS numbered releases

These comprise the initial installation. Prior to the availability of an initial configuration release, Netsmart will provide the appropriate documentation and train key state personnel to install the VRS Executable and Database, download a release from Netsmart's/State's FTP site and apply it to your Test Environment/instance. Applying subsequent releases of each of the above may require similar assistance, if needed.

Configuration releases

A fully tested Configuration release will be delivered in its Beta X format which matches the current accumulated requirements to the State. A release Beta X package contains:

1. Instructions for installation.
2. Release notes indicating the functionality included
3. Scripts such as SQL updates.
4. Log files assuring that applying the release was deployed correctly to another of Netsmart's Test instances.
5. The Configuration-specific Beta X files (Meta-Data Configuration files).

Trained key state personnel will exercise the component's functionality against the system requirements test plan. The State grades the testing they performed according to PASS or FAIL and based on the requirement under test. If a partial fail is encountered the report is so noted.

Noted steps to reproduce each failure are documented and made available to Netsmart. The offending item is then recorded and assigned for remediation following comparison against the planned functionality of the component.

Frequency of New Releases After Go Live

Following Go-Live, new releases are based on the Maintenance agreement in effect.
Core VRS executable releases are provided quarterly and configuration releases are handled on a case by

case basis. Where defective functionality is discovered, Netsmart, in consultation with the State, will determine the course of action and advise the State of a release date.

Process used to determine what features will be included in each release pre and post go live
Accomplishing functionality deployment in stages is a previously noted collaborative process that occurs during the planning and design stages of the project. In conjunction with the State's key personnel, sponsors and subject matter experts, Netsmart seeks to prioritize and formally document the state's functionality deployment preferences. Done in logical/functionality groups, they drive the successive and aggregate functionality development, testing, and deployments that were elected.

Support provided to clients during and after upgrade of a new release
Netsmart maintains two reference systems for each of our Vital Record clients. One reference system contains the current image of the client's production system. The second system is used for development and configuration of upcoming product release(s).

During implementation and live production, the effect of any remediation or configuration which Netsmart undertakes on your behalf or remediation or enhancements which the State may perform on their systems are made available to the reference system. After Go Live, this is dependent on the State entering into an agreement for maintenance services.

The above ensures that your system and its reference are constantly synchronized and the effect of releases Netsmart provides will not impact your configuration.

Netsmart does not include Client-Maintained Tables in a release. These are detailed in our CHGREQ table in the Database and will be discussed and stated in the Document of Understanding. Essentially, this unique table is used to define any reference or meta-data table that Netsmart would not include in periodic release packages thereby ensuring that release updates do not overwrite specific client maintained tables.

When a release is produced and the State is notified that a Release Beta X package is available for download and deployment to the State's test instance/environment, we ensure to update this table so the Configuration installation program is directed to avoid overwriting Client Maintained Tables or components. Netsmart appreciates that there could be updates to the CHGREQ table that the client can perform. After Go Live, these are addressed in the Maintenance agreement. Examples of such tables contain:

1. Users and Roles Table
2. Facilities Table containing other State entities and data partners which the State allows to access the system to perform record data capture
3. Certifiers Table

Policy regarding mandatory upgrade to new releases,
Netsmart does not dictate mandatory upgrades but advises our users of impending release advantages.

Policy on sharing new functionality between clients
The Netsmart Community is an online networking site exclusively for Netsmart clients to connect, network, share ideas and collaborate with one another as well as Netsmart subject matter experts. The site has 7,000+ active members. Clients can join over 100 Community groups that are available for connecting with other clients using their same CareRecord, in their region, or with a similar role. In addition to engaging in the Community and managing support cases, all NetsmartCares members can view roadmaps, submit innovations to change the future of their solution, register for events and webinars, read knowledge articles written by support associates and much more. Netsmart Community is often used for clients to share configurations and reports that one has developed that a similar client will find useful.

Policy regarding client notification of potential impacts of new releases to the client's system

During the implementation project such negative impacts are inconsequential as the approved DOU would predominantly drive the functionality required for the State's final delivered VRS solution.

As a component of Netsmart's Maintenance program, the State's Reference System affords testing releases prior to deployment. Under these circumstances, before a CORE release is made available, Netsmart has performed testing previously described to determine release suitability.

Netsmart notifies each Netsmart VRS client of new releases and publishes release notes to explain changes and how they might impact the client's system.

Method that is recommended to keep changes to the configuration or tables made by the client from interfering with the application of new releases.
Netsmart recommends that the Master copy of the configuration for the system is housed on our servers (whether the client is self-hosted or hosted by Netsmart.) Any changes to the configuration of the system by Netsmart or the client is made to that Master copy. Validation tables such as the Funeral Director/Home table, Certifiers, Facilities, and other state specific validation tables are only updated on the Client's System. This ensures that during a release, the latest configuration, documents, reports, import and exports are updated in the client's environment. The update would not change any validation tables that the client would maintain. This Master Copy method has been in place since the beginning and works well.

Technical Question Three

Describe the offeror's experience with mapping data from current systems to their system, the process used to document the mapping for each event and the method by which the offeror works with the state to convert the data, identify, and rectify conversion issues. Please discuss how the offeror will migrate and link.images to vital event records. Please describe how the imaging will be stored and integrated with the EVRS solution.

The tools Netsmart uses for data conversion are designed to define the conversion process, document the conversion, repair some types of corrupt data, flag the records with specific errors found, identify converted records as converted, convert data for transport to clients, and efficiently load data at the client site. The software supports both comma-delimited flat files and fixed position flat files, ADO databases, and spreadsheets. Detailed configuration/ data validation reports are built with each update of converted data.

Netsmart will help the State create a GAP Analysis document with a detailed field map showing each column in client data and what tables and fields the data will be stored in including any code conversions and lookups. The State will then export the data in the agreed format for Netsmart to convert. Netsmart strongly suggests using the IJE STEVE (Standardized Interjurisdictional STEVE Extract) format for the Event data if available. Any and all additional fields can be appended to the end of this file or additional files can be used. Each row in the file(s) will contain the complete data set for each record. If a separate file is used, a link will be created between files; this will likely be the State File Number or some other unique identifier in the record.

JAD sessions will be implemented to facilitate the smooth conversion of the State's legacy data.
Each event will be considered a separate unit to be configured. The time to complete the conversions will vary based on the event size (number of fields in the event) and the complexity of the conversion and anomalies found. Older data will be more challenging but we have handled data from 1900 – present with minimal issues. Once an event is finalized, work can begin on the next event.

The process will be as follows:

Part I

- State/Netsmart will create a GAP Analysis Mapping document

    - This will start with a base IJE STEVE export file and map all fields from legacy data into the new EVRS system fields
    - Append additional data fields to the existing map or create a second map for these additional fields with key fields identified to link
    - Define business rules for anomalies in data
- State/Netsmart will produce the file(s) in the format developed in the GAP Analysis document and JAD sessions
- Netsmart will receive a test sample of data (large sampling for all years) for the event to be converted
    - Build the conversion project
    - Run conversion on sample data
    - QA data on Netsmart side
    - Report(s) will be assembled and will be submitted to the State for review and recommendations for fixing any corrupt data and discrepancies and anomalies
    - Fix and re-run conversion with changes as needed
- Deliver data to State for UAT and QA
- State/Netsmart bulk loads the conversion data into the new EVRS system tables.
- Repeat process as needed for each event (conversion)

Part II

- Receive data file(s) from State with ALL data up to current date
- Run the conversion project with large data set
- QA data on Netsmart side
    - Report(s) will be assembled and will be submitted to the State for review and recommendations for fixing any corrupt data and discrepancies and anomalies
    - Fix and re-run conversion with changes as needed
- Deliver data to State for QA and UAT
- State/Netsmart bulk loads the conversion data into the new EVRS system tables
- Repeat process as needed for each event (conversion)

Part III – This will be done concurrent to Part II

- Time the conversion process for time frames
- State upload to Netsmart secure site
- Netsmart download from secure site
- Netsmart conversion runtime
- Netsmart upload to State on secure site
- State/Netsmart bulk loads the conversion data into the new EVRS system tables

All UAT and QA on the bulk of the data should be confirmed long before the final conversion of the data with this iterative process.

Part IV - This process should be done in the 3-day time frame, barring any corrupt or unforeseen interruptions.

- Cut-off date determined for legacy data
- State will produce the files for the conversion process based on the cut-off date
- State upload/deliver to Netsmart secure site
- Netsmart download from secure site
- Netsmart will convert the data through the conversion tool
- Netsmart will deliver the converted data to State on secure site
- State/Netsmart will download the converted data files
- State/Netsmart will bulk load the conversion data into the new EVRS system tables on the Production server
    - The overall time will depend on the times discovered in Part III
    - State will test the application to verify nothing has been corrupted

- Pre Go-Live complete
- Ready for users to start using the new EVRS system

Post Go-Live conversion will be essentially the same as the bulk conversion with the exception of appending the data versus truncating and bulk loading the data.

Netsmart Security and Privacy Policies are strictly adhered to and transmission of data is only on secure sites and using encrypted data.

Netsmart is not able to provide a programmatic solution that would cleanse all of the State and County data, but we are able to provide a means to transform (within reason) field/data values prior to incorporating those records into the State's database(s). Netsmart will provide exception reports that highlight records which contain fields that clearly are invalid (e.g. invalid date values, duplicate records, etc.). With this type of exception reporting, the State/County will be able to research and hopefully resolve correct data values to eventually allow a successful record's conversion.

Netsmart will need to better understand how there may be duplicates or overlap of alike records between Counties and the State and what should be the final disposition of those records.

Data conversion of legacy information contained in disparate systems is usually the most challenging exercise of a Vital Record System implementation. Netsmart will, to the best of their abilities, assist the Counties and State with conversion of data within the extent of our capabilities. It will be incumbent upon the Counties and/or the State to staff sufficient technical resources who both understand the data contained within each different system and who are also able to produce uniform formats of data sets that are to be converted (as described above) in the form if IJE/STEVE record formats.

Netsmart assumes that conversion of electronic event records from the Counties will be successfully completed prior to the exercise of attaching image files from the various County systems.

In order to provide a reliable means to attach image files to existing electronic event records, there will need to be unique and identifiable information about the image file (e.g., filename is comprised of the event record's State File Number or some other unique ID that could be used to link the image to an electronic record). In absence of that essential linking information, it could be problematic to ensure an image file is attached to the correct corresponding electronic event record. The Counties and/or State should begin that research effort as early as possible.

Netsmart has developed various client-specific solutions that have been utilized to successfully accomplish this linking of images to existing electronic records, and we would need to better understand the folder/file organization and naming conventions for each of the Counties' repository of image files.

Technical Question Four

Interoperability is an increasingly important aspect of all systems in the health field. Please describe offeror's experience with and plans for addressing interoperability in the vital records area. Specifically, issues such as Master Patient Index (MPI), electronic health records, insurance exchanges and other registries and health programs should be addressed.

Netsmart's integration, interfaces, and data exchanges for specific entities in the RFP requirements such as OVS for SSA and the EVVE and STEVE systems, is discussed in the response relating to each individual entity. Below, we address future interoperability between vital records and health systems such as EHRs and MPI. Future integration is available as an option for future consideration and would require a discussion of specifications and additional costs as it is considered out of scope in this proposal.
Netsmart is confident that we lead all vital records COTS technology providers in interoperability because

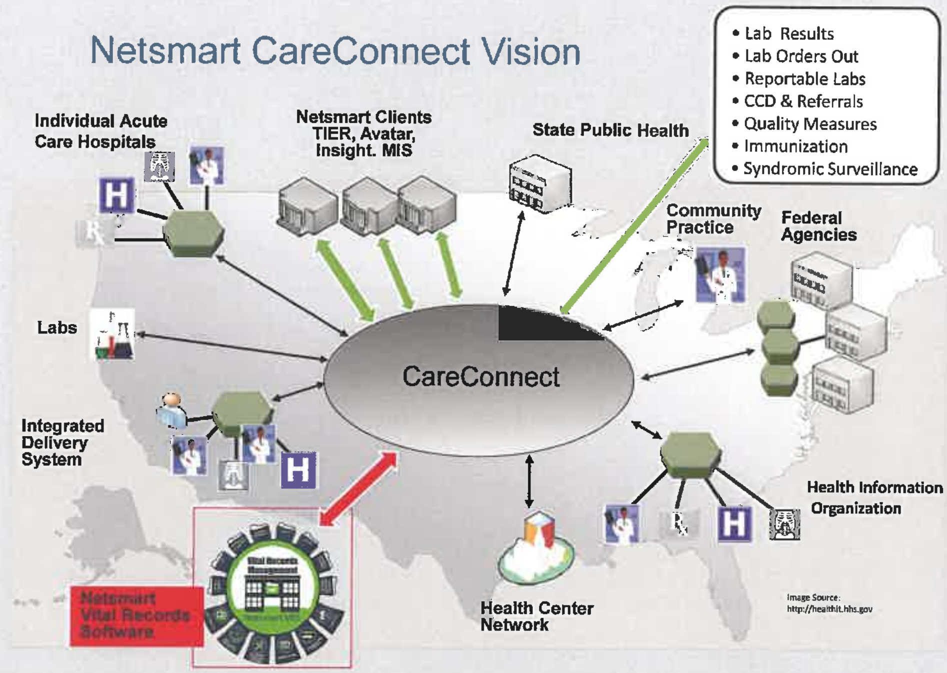
we are already connecting over 150,000 healthcare entities and their EHRs. An entity is a unique connected endpoint such as a hospital, a lab, and a public or behavioral health facility. We have considerable experience integrating health information in communities providing healthcare, public health, population health, and government health and human services. Our network is based on our proprietary CareConnect solution. Netsmart is uniquely qualified with a highly scalable, proven interoperability platform, deep domain expertise in both the vital records and the health and human services communities, and working integrated solutions in both worlds. In simplest terms, we have the platform, the people, the products, and points of proof.

CareConnect is designed to facilitate coordinated care and interoperability on a platform that allows data in Netsmart and other CareRecords (EHRs) to be exchanged and shared with other providers beyond the four walls of each facility. CareConnect allows users to reduce the amount of manual entry, faxing and phone calls which may be needed to move sensitive health information between disparate systems and entities similar to the challenges of vital records data entry today, where almost all data is duplicate keyed into an array of applications including: EHRs (for both Birth and Death), Funeral Directors Systems, Coroner and Medical Examiner Systems, State Vital Records Systems. We have already integrated with Funeral Directors Systems, and we anticipate the biggest future gains would be from EHR integration.

CareConnect is used to connect communities relevant to the public health nature of the vital records mission. The 250,000 plus existing connections includes ready access to a network including:

- Hospital EHRs. Netsmart has formal relationships with the predominant HIT vendors to deliver mutually supported integration and a partner integration library, including industry leaders Allscripts, Cerner and Epic.
- Health Information Exchanges
- Reference labs and public health labs
- Public Health/Population Health entities such as public health departments, immunization registries, cancer registries, disease surveillance systems, and specialized registries covered under the Meaningful Use guidelines for certified electronic health records provided by the Centers for Medicare and Medicaid Services (CMS) EHR Incentive Programs

This carefully constructed platform has been specifically designed to achieve integrated exchange of data entities in a secure fashion using encryption and rigorous authentication that protects the private health information of the consumer. Interoperability enables more efficient care by sharing data between disparate levels of care providers (private practice, community, county, state, and private hospitals). CareConnect is Netsmart's standard component to address not only today's known integration needs, but those of the future such as vital records.



CareConnect connects an organization with providers, hospitals, physicians, Health Information Exchanges (HIE), and integrated delivery networks with the goal of improving efficiencies and reducing the cost of healthcare. The solution enables the transaction of protected health information (PHI) between participating organizations allowing them to share information and supporting all federal and state policies and standards for health information exchange. With its ability to support industry standard data types such as HL7 messaging and Continuity of Care Documents (CCD), the CareConnect network could also be used to support the secure transmission of clinical data between EHRs and vital records systems. The network also provides a mechanism for the administration of the legal and privacy documentation required so that information exchange is in statutory compliance and respects the privacy decisions of individuals.

Netsmart also provides a Master Person Index for use with our CareRecords and we have years of experience integrating health records while avoiding identity duplication or uncertainty.

Netsmart is ideally positioned to lead the next wave of vital records interoperability because we have a proven healthcare interoperability platform with a large existing network of connections as well as a leading vital records platform and domain expertise. Our experience is that this is no longer a technology problem, rather it is a matter of the public policy needed to drive the urgency and rewards to stakeholders to motivate participation. EHR adoption spiked when it was mandated under the Meaningful Use program which combined financial incentives to participate and penalties for organizations that failed to modernize. Meaningful Use created funding, urgency, and the fear of penalties which resulted in a powerful wave of implementations of new systems with the mandatory requirement of interoperable technology. Vital records integration with EHRs will likely not happen on a widespread standardized basis without a similar type of program.

Integration pilots between vital records and EHRs to date have demonstrated the feasibility of the technology and concept, yet the entire industry suffers from limited success from the perspective of spurring growth and adoption. Netsmart would like to combine our existing policy advocacy role for our health and human services clients with the vital records/NAPHSIS industry efforts in order to drive innovation and adoption of vital records interoperability with health data. If vital records integration were to be specified in future federal health technology initiatives similar to Meaningful Use, that would provide the necessary catalyst for change. Netsmart would like to lead this change by partnering with industry organizations like NAPHSIS and with our clients to lead this change.

Technical Question Five

To what degree is the application mobile ready? Please respond specifically to the following questions:

- Is there an application available from an App Store (Google Play or Apple) or is your mobile presence an optimized web page or both?
- Do the screens automatically adapt to the mobile device being used?
- Is the entire application available to the mobile user or only certain features? If the latter, please detail which features are available
- Describe plans for moving to or enhancing the mobile readiness of the application.
- Do releases and updates to the mobile application follow the same philosophy as the main system as described in question two?

Please limit your response to 2 pages.

Since our solution is web-based, it can be accessed from any internet-connected device. Recently, as a way to improve end-user experience, we developed mobile app capability. This VRS Lite System uses the same backend Netsmart server services that the BA system uses. These mobile apps provide the right workflow and the right information to the right user at the right time for their particular point of view. Our most popular licensed apps include our Birth Mother's Worksheet – and – Cause of Death entry. Our mobile apps are targeted for end users that have a limited amount of data to enter into an event. These apps are not meant to recreate the entire VRS system on a phone or a tablet. Instead, the apps pull out specific functionality from the VRS system so it can be supported on different devices. This VRS Lite system is HTML5 based and can use any browser as the delivery method. Configuration of the mobile app screen is also done through our VRS Screen Designer and can be modified by the trained state user.

Our mobile apps are licensed to WVDHHR and shared upon licensing – they are not available in an app store.

Netsmart also has future plans to greatly expand the VRS Lite version to have more of the capabilities that the BA system has. This would be a full-featured, HTML 5-based system.

Technical Question Six

The goal of this project is to move the state to a common modern technology platform utilizing a single database for all vital events. Please provide a narrative explaining how the proposed solution is integrated; communicates between modules with specific focus on movement of records between modules and queues based on record status.

Please limit your response to 2 pages.

Netsmart VRS uses a centralized database for all of its event record and metadata storage. This centralized database allows all data entry for any event to be entered directly into the database upon saving the record. All users have instant and real time access to the data. There is no synchronization or uploading of the data to the database from any computer.

With Netsmart VRS, there are no internal walls that stop information from moving from one event to another. Likewise, there are no walls that segregate an event from all the stakeholders that should have access to it. Access is open and immediate because of the centralized database. There is no specific software code for any event and, therefore, no separate Event Modules.

Each event is defined by a named database table with all the fields for that event. All other functions, tasks, tools, and utilities work on that table and the associated meta-data tables that describe the search screen, data entry screen, edits, roles, security, documents, reports, imports, and exports for that event. There is no limit to the number of events or contents of those events. Therefore, the mechanism to add an event is always the same no matter how big or small the event is. In addition, one-to-many relationships events are not a problem either. This is evident in some states that have multiple hearing screenings for one hearing information record. It is also shown in CAS where there can be multiple services and payments for an application.

This idea that all events are configured the same way lends itself to a very open and extensible system whereby any core software change is instantly available to all of the events.

With regards to queues, they are simply a predetermined targeted search command. The changing of a flag on the event record causes that record to be picked up/dropped from that work queue and shown on another one.

Because there are no boundaries, an operator working with a death record can easily have the system update a birth record with death information.

Technical Question Seven

The State is committed to maintaining all operating software at current release levels. Please describe your company's policies and procedures to ensure that the proposed system continues to be operational as State software is upgraded. In your response include the timeframe within which you guarantee upgrades based upon the date a new release is announced. Please specify if your policies exclude any types of software (for example, operating system, database, ad hoc reporting tool).

Please describe your policies and procedures for maintaining the State at up-to-date levels of the proposed system. In your response please describe your release process including the frequency and support provided. If new requirements, such as a new certificate format, were mandated would that be covered by the maintenance agreement?

When a new operating system or SQL server release is available and working, Netsmart will move its internal development/QA system to the newer release. Within a year, Netsmart will regression test its application to ensure there are no major problems with the new operating system or SQL Release. If any changes were needed to make the Netsmart VRS software work properly with the newest versions of the OS or SQL Server, only the latest version of the Netsmart VRS software would be fixed by default. If the client couldn't upgrade to the latest version for some reason, and they requested that an older version be modified to work with the new OS/SQL Server, then a level of effort needs to be determined to update their version. Under the maintenance agreement, clients receive all software upgrades and help needed for installation. The frequency of changes to our software depend on a number of factors. Some changes come about because a client finds a bug in the software. Some changes are initiated by upgrading our software to meet the needs of an RFP or a new client's requirements. With regards to releases, each state has an instance of their system on our servers here at Netsmart. This system contains all of the configuration (meta-data) for that state. If the State or Netsmart wishes to make a change to the state system, they do it on our site. This allows them to test out the change made, have us look at it if needed, and we can also make changes if we need to. This also goes for any reports or documents that they create. We ask them to put everything on our system so that we can easily help them if something is not working. When they are satisfied with the configuration and testing on our site, they ask us for a release. This release consists of:

1) The structure of all of the tables
2) Replacement tables for the meta-data and any validation tables that they want
3) Any stored procedures that have changed
4) New software

5) Any updated instructions including any SQL that needs to be run to update their system

With regards to new requirements mandated by NCHS/CDC/NAPHSIS, it really depends on the complexity of the request. If a few new fields were mandated to be collected, we help our clients implement this addition, free of charge. In fact, most states would not need or ask for our help for such a simple change they could make themselves. If an entire certificate change was made (e.g., 20 or 30 fields were added/changed), a fee would apply if the change required Netsmart to reconfigure the State's system. The cost would be determined by how much time we spent modifying the State's system. Other changes such as OVS2 and VIEWS2 are done at no charge to the client. Our response to this question is dependent on Netsmart's and the State's contract when the software is purchased.

Technical Question Eight

Provide a technical narrative describing how, if successful, the offeror will host the proposed solution for the state. Specifically, the state is interested in understanding:

1. How replication and redundancy are handled;
2. Security for the hosted environments and the physical site;
3. Service level agreements and uptime;
4. How routine maintenance is handled; and
5. Number of vital records clients that are currently hosted by the offeror.

Please limit your response to a maximum of two (2) pages excluding any technical diagrams.

When a new operating system or SQL server release is available and working, Netsmart will move its internal development/QA system to the newer release. Within a year, Netsmart will regression test its application to ensure there are no major problems with the new operating system or SQL Release. If any changes were needed to make the Netsmart VRS software work properly with the newest versions of the OS or SQL Server, only the latest version of the Netsmart VRS software would be fixed by default. If the client couldn't upgrade to the latest version for some reason, and they requested that an older version be modified to work with the new OS/SQL Server, then a level of effort needs to be determined to update their version.

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Technical Question Nine

Describe any plans to move the proposed solution to a new platform or database. If moved to a new platform, what is your policy for existing customers? For example, do you continue to support the installed solution and is there a time limit on that support?

Our software started as a Client/Server system that was web enabled through Citrix. A few years ago, we upgraded our product to use Microsoft's .NET platform and called this Browser Aware (BA). At this point, we have clients using both platforms. We continue to support the older platform and add new features when needed, but are not actively upgrading it with all the new features that are put into our BA .NET platform. We are currently in development/implementation of a full-featured HTML 5-based system we call NX (Next Generation). We are upgrading some of our current clients to this NX (Next Generation) HTML 5 based solution.

This NX system will be the basis for the future mobile apps and Tablet access/entry.

Technical Question Ten

Please indicate to what degree the following items are configurable by a business user system administrator with some computing experience.

Item	Fully Configurable without vendor assistance	Partially configurable requiring some degree of vendor assistance	Requires vendor to make the change
New User Set Up	Yes		
Forms	Yes		
Letters	Yes		
Certificates	Yes		
Screen Design : -Formatting -Adding new screens	Yes Yes Yes		
Fields: -Adding -Deleting -Editing	Yes Yes Yes Yes		
Edits: -Adding -Deleting -Changing -Creating cross field edits	Yes Yes Yes Yes Yes		
Reports	Yes		
Queues: -Adding -Deleting -Changing	Yes Yes Yes Yes		

In a narrative please explain how the configurability works in the solution being proposed and the skills required at the State to be able to achieve the maximum benefit from the configurability offered by the proposed solution.

One of the driving goals of our first system over 15 years ago was to make it so configurable that the client could take over any changes that they wanted made to the system. All of our clients use some varying degree of configuration with our provided tools. Simple to intermediate changes to the screens, edits, documents, and reports can be done by anyone using our configuration tools.

To summarize, everything that Netsmart does to configure your system to meet your requirements can be done by the trained state staff with our provided tools. The skillset needed varies according to the level of system changes that are wanted. It is very easy for anyone to see what has been done in the system and replicate that task somewhere else by using our tools. Some of the screen edits use the Visual Basic Scripting language, and some use JavaScript. Also, some SQL language constructs are used in various tools. With a beginning level knowledge of both Visual Basic Scripting, JavaScript and SQL, any changes can be made.

The Netsmart VRS configurable items are grouped into the following categories: Screens, Documents (which include letters and certified copies), Tables, Reports, Work Queues, security, Imports, and Exports. Netsmart VRS includes the tools that manage all of those items.

The Screen Designer – This tool manipulates the dozens of attributes of each field on the screen. Once we get the system set up, changing titles, layout, tabs and edits are all very easy. The highest-level skillset needed would be for some of the complicated Visual Basic Scripting/JavaScript edits. Picking up this language is very easy even for our users that have never done any programming.

Document Definitions (Document Wizard) – This tool manages the use of the various documents in the system. The documents have a number of attributes that govern whether they show up on the print menu or not. Simple SQL select statements will need to be understood.

Tables – Table maintenance utility allows updating the values of the tables in the system. These tables range from Record Status to Work Queues.

Report Definitions – This tool loads all of the reports into the system and assigns them security so only certain people can run them. They will be run from the Report Center.

Work Queues – These are created/changed by the Table Maintenance Utility mentioned earlier. It is used to view and update all of the tables in the system that are not events.

Imports – The import utility manages the criteria for each Import in the system. Imports are used to update validation tables and to update events with additional information. Any number of new imports can be created to manage the vital records business.

Exports – The export utility manages the criteria for each export in the system. Exports are used to send information to NCHS and other state agencies. Any number of new exports can be created to send information to various agencies.

Report Builder – This separate utility is used to create the document layouts/letters and the reports. It can be used as an ad-hoc report generator. The user would use this to layout reports and then put them in the report center so they can be run by everyone depending on security.

Technical Question Eleven

The State prefers that the Offeror provide the initial application training to all external stakeholders. The following chart provides information on the approximate numbers of stakeholders by event.
Describe how you would approach training each group of stakeholders by event; what kind of training would be provided (in person, e-learning, online), what materials would be given to the trainees, and any follow-on support that would be provided during the go live period.

Numbers of Stakeholders by Event

Event	Stakeholder Group	Approximate number of stakeholder
Birth	Birthing Facilities and Hospitals: -medical record clerks -birth clerks -midwives -pre-registration clerks	Hospital users 108 This number includes midwives
Death	Funeral Homes: -Assistants -Funeral Directors	Funeral directors 499 Funeral admins 417
Death	Medical Examiners: -Medical Examiners -County Medical Examiners	Medical examiners 70 Deputies 241
Death	Medical Certifiers: -Hospice -Certifiers -Assistants	Medical certifiers 1500 (approximate)
Fetal Death	Hospitals Funeral Homes Medical Certifiers	Roughly the same as EBRS and EDRS
ITOP	Facilities	2
Amendments and Issuance	Regional County Offices	55 counties Approximately 80 users
All Events	State Staff	35

Netsmart will collaborate with the Agency to provide end user training in both Instructor Led Training (ILT) and Web-Based Training (WBT).

a. Netsmart will deliver a successful training program for the Agency's end-users that is designed to meet the specific and unique business requirements configured into the COTS solution that results in a solid understanding of the system across all stakeholder and users of the system.
b. Netsmart will develop and provide a training curriculum that is focused on the training needs of the Agency's end users for the functionality implemented within the vital record's system which will be provided in both ILT and WBT forums - both of which will be finalized after "Notice to Proceed".

Training Methodology
Netsmart will ensure that the appropriate knowledge and skills are transferred to the all trainees by offering application training that is competency-based and adult-learner centric.

Based on best-practices, we propose that the training be delivered in the following format:
Instructor-led (ILT) face-to-face classroom training. This training incorporates experiential learning

delivery, with a post-course test.
Netsmart will design a competency-based training program according to the roles and job tasks of the trainees. This means that each group of learners will get the information they need to successfully use the application as a tool in their work. For each of these groups, Netsmart will carefully design the right training approach, examples, practice, and materials.
Complemented by:
Self-Paced (WBT) web-based training. This training incorporates an online training component, with a post-course test.
Netsmart will design a competency-based training program according to the roles and job tasks of the trainees. This means that each group of learners will get the information they need to successfully use the application as a tool in their work. For each of these groups, Netsmart will carefully design the right training approach, examples, practice, and materials. The web based training is also beneficial to the end users across the state as a training mechanism for new users.

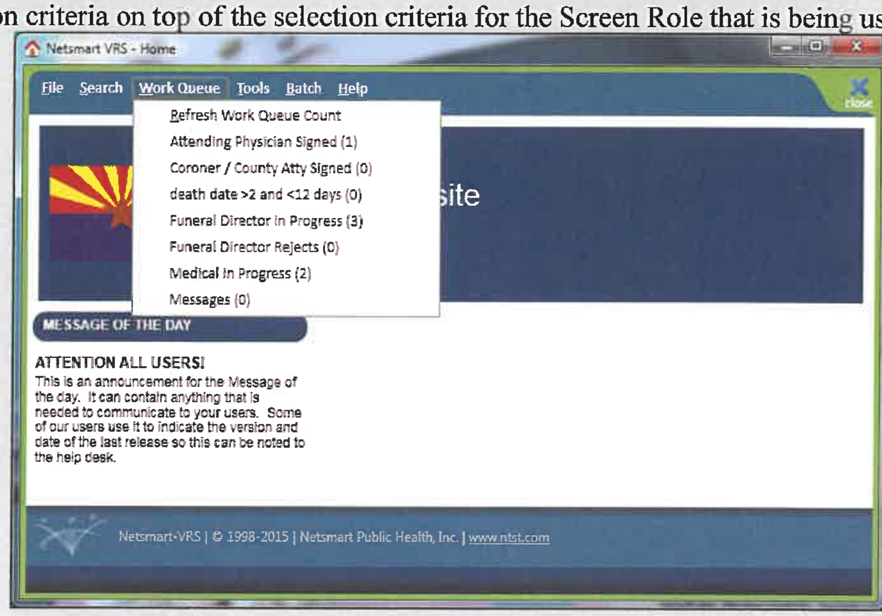
Technical Question Twelve

Explain how the proposed solution manages work queues. Please explain the following:

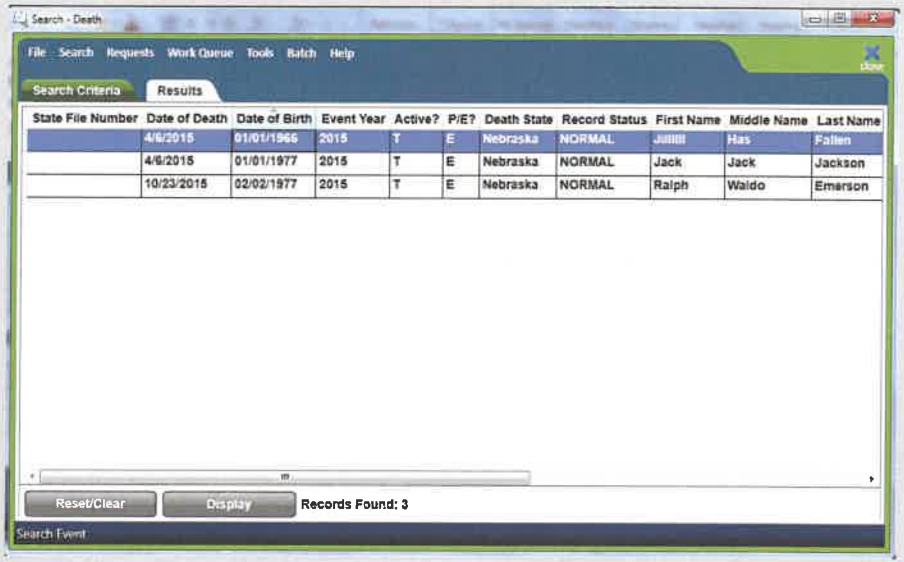
1. If queues can be redirected from one individual to another. If so, how does this work? Do what degree can this function be individualized by: user; group of users; location?
2. If and how information in a queue can be sorted?
3. If filters can be applied to queues? If so, how does this work in the proposed solution? And is it configurable by user; group of users; or location?

Please limit your response to one (1) page.

WorkQueues
Work Queues play an important part in the user's experience. They are a shortcut to search an event for records with specific field values. Work Queues can be created or changed by Netsmart or the State at any time. There can be as many Work Queues as needed. Work Queues are assigned a function code. The function code is assigned to security groups so only certain people can see that work queue. Therefore, the work queues shown to a funeral director would be different than those shown to a medical certifier. In addition, the Funeral Director will only see records that he is a partial owner of. This behind the scenes selection criteria is built into the GUIRole for that Funeral Director death screen. The Work Queues provide selection criteria on top of the selection criteria for the Screen Role that is being used for that event.



Clicking on the Funeral Director in Progress (3) work queue results in the 3 records shown below. The Results tab shows the records and the Search Criteria Tab shows the various fields that were used to search for the records.



The work queues cannot be turned on and off with a switch, but the user can choose not to click on that particular work queue. The event records usually have a Facility or funeral home where the record is assigned (user location) and User Name that created/modified the record. Both these criteria and many others can be used to select records in a work queue. Therefore, when a particular funeral director is logged in to the system, by choosing "Funeral Director in Progress (3)" work queue, only records they owned would show. Likewise, there could be a "Funeral Home in Progress" work queue that would show all the records owned by that funeral home (location) that the user (Funeral Director) was a member of.

If queues can be redirected from one individual to another. If so, how does this work? Do what degree can this function be individualized by: user; group of users; location?

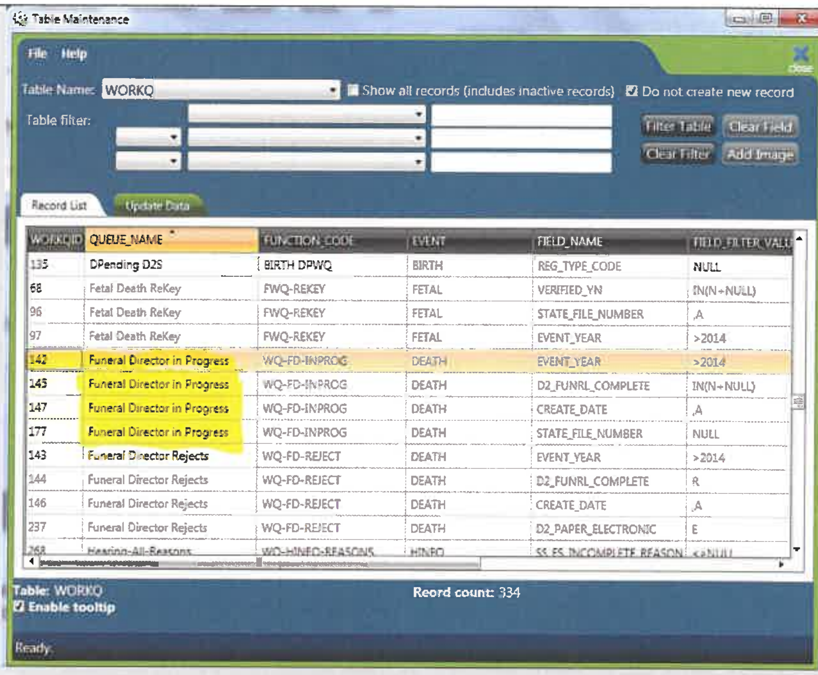
To direct a queue from one individual to another, the base Event record must be changed. That is usually not done, but we do have a utility that can accomplish that. This Batch/Number Change utility can have security so that only certain people can use it.

If and how information in a queue can be sorted?

Clicking on a column heading will instantly sort the results in ascending or descending order. This is indicated in the ascending Date of Birth ^ column in the screen shot above.

If filters can be applied to queues? If so, how does this work in the proposed solution? And is it configurable by user; group of users; or location?

A work queue is actually the filter on the records found. By going to the Search Criteria tab on the search screen, the user can add more filters or values that will be used in the search. Likewise, they can take away some of the Work Queue filter values to get a different result. Shown below is the WorkQ table with the values used in that death record search. These filters are put in the search screen before the search is automatically initiated. The user can modify/add/delete these filters on the search screen very easily to get different results.



Section 5: Preliminary MS Project Plan

Submit a preliminary project plan for Phase 1 as part of this proposal which includes:

- An MS Project Schedule that show all proposed project activities for both the Offeror and the State;
- Milestones;
- Task interdependencies; Resource requirements for each task;
- Estimated timeframe to complete each task identified in the Scope of Service;
- State review times as identified in the Scope of Services.

The preliminary schedule will be incorporated into the contract.

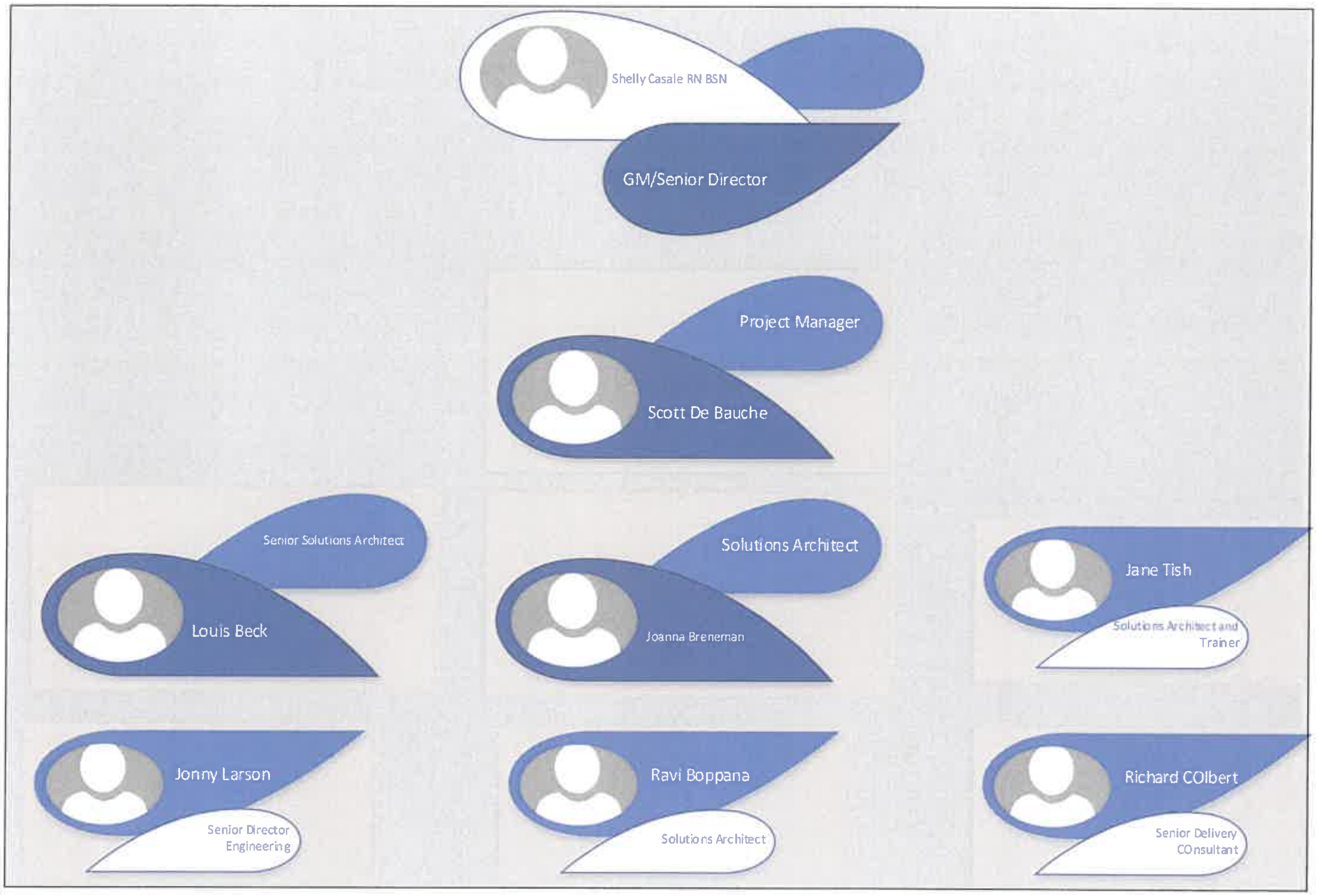
The first project deliverable is the finalized detailed project plan that will include fixed deliverable due dates for all subsequent project tasks as defined in the Scope of Work. The State's current goal is to have the first deliverable due 30 days from the signing of the contract.

A preliminary MS Project Plan can be found in the attachments section.

Section 6: Proposed Project Team

Proposed Project Team Question One

Provide an organizational chart that depicts the Vendor Project Team that the Offeror is proposing for this specific project. The organizational chart should specify the personnel assigned to accomplish the work called for in this RFP, including subcontractors, if used. Lines of authority should be clearly illustrated.



Proposed Project Team Question Two

In the table below designate the individual responsible and accountable for the completion of each of the major component and deliverable of the RFP.

Reference #	Components	Staff
1	Project Plan and Schedule	Scott De Bauche
2	Set up technical environment for GAP	Netsmart Hosting Team
3	Conduct GAP Analysis	Louis Beck
4	Facilitate onsite GAP Analysis	Louis Beck
5	Set up and Configure Test, Training and Production Environments	Netsmart Hosting Team
6	Configuration of the EDRS	Joanna Breneman
7	Configuration of the Point of Sale	Louis Beck

8	Configuration of Reports and Extracts	Ravi Boppana
9	Configuration of interfaces	Jonny Larson
10	Data Conversion	Richard Colbert
11	Migration of Images	Richard Colbert
12	Assistance with User Acceptance Testing	Jane Tish Louis Beck
13	Development of Application Training Packets for Phase I	Jane Tish

Reference #	Components	Staff
14	Delivery Application Training for State Users	Jane Tish
15	Delivery Technical Training for System Administrators and Business Configurators	Jane Tish
16	Delivery of Application Training to Stakeholders	Jane Tish
17	Creating User Documentation for Phase I	Jane Tish
18	Creating Technical Documentation for Phase I	Jane Tish
19	Assistance with Pilot	Jane Tish Steve Egert Louis Beck Joanna Breneman Ravi Boppana
20	Assistance for Go Live for Phase I	Jane Tish Steve Egert Louis Beck Joanna Breneman Ravi Boppana
21	Project Management Activities	Steve Egert

Proposed Project Team Question Three

Complete the following table for all staff, including contractors, that will participate on the project:

Ref. #	Name	Title or Position	Percent of time dedicated to WV	Work Location
1,19,20,21	Scott DeBauche	Project Manager	50%	All work performed will be done from a Netsmart location excluding the times that Project Team member is on site with West Virginia.
3,4,7,12,19,20	Louis Beck	Senior Solution Architect	50%	All work performed will be done from a Netsmart location excluding the times that Project Team member is on site with West Virginia.
6,19,20	Joanna Breneman	Solution Architect	50%	All work performed will be done from a Netsmart location excluding the times that Project Team member is on site with West Virginia.
13,14,15,16,17,18,19,20	Jane Tish	Solution Architect/Trainer	50%	All work performed will be done from a Netsmart location excluding the times that Project Team member is on site with West Virginia.
10,11	Richard Colbert	Senior Delivery Consultant	60%	All work performed will be done from a Netsmart location excluding the times that Project Team member is on site with West Virginia.
8	Ravi Boppana	Solution Architect	50%	All work performed will be done from a Netsmart location excluding the times that Project Team member is on site with West Virginia.

9	Jonny Larson	Senior Director Engineering	10%	All work performed will be done from a Netsmart location.

Proposed Project Team Question Four

Include a resume for each person listed in the table for Question Three above.

Resumes are provided on the following pages. The exact project team will be identified after the execution of the contract. Resource availability is dependent upon actual dates.

Scott De Bauche **CONFIDENTIAL** Netsmart

Project Role	Netsmart Team
Project Manager / Vital Records Engagement Leader	Consulting, Public Sector

Experience Summary

Roles with Netsmart Technologies have included Project Manager, Practice Manager and Project Executive and Strategist - since 2004. Served as project manager on four state-wide implementations of a vital records registration system.

Responsible for successful executive management of service delivery. Monitors and directs staff development activities. Results-driven professional with experience in managing, developing, and maintaining enterprise applications. Proven skills working with users to meet complex business challenges through efficient and cost saving solutions. Expertise in training and assisting users towards maximum system utilization.

Education and Specialized Training

B.S., Computer Science - University of South Carolina May 1981

Right Ways to Manage, Time Management, Conflict Management and Resolution, Team Building Strategies, Performance Tuning and Analysis, Failure Modes and Effects Analysis (FMEA), Managing Interpersonal Relations, Structured Analysis, AS/400 Operations, Lawson Technical Foundations, Existing for the Customer.

Skills Summary

Project Management	Budgeting and Financial Reporting
Relationship and Team Building	Supply Chain Management
Performance Improvement	Process Reengineering
Web Enabled Solutions	Data Collection Solutions
Solutions Implementation	Training and Support
Logistics	EDI

Relevant Past Experience

Netsmart Technologies - Strategist **Duration: October 2004 to Present**

Manage the Vital Records product and future strategy. Responsible for all aspects of delivering successful projects for statewide multi-event vital records systems and aligning future client needs to the product roadmap. Has served in multiple client delivery roles such as Project Manager and Project Executive.

Robert Allen Group - Project Manager **Duration: September 2003 to October 2004**

Managed projects that reduced annual labor costs of $60,000 by implementing EDI solutions which reduced the daily order management and receiving activities for finished goods purchased from external vendors.

Agilera, Inc. – Sr. Manager, Product Engineering & Professional Services **Duration: 1999 to May 2003**

Directed a team of software engineers responsible for the implementation and integration of ERP (Lawson) and Messaging Systems (Exchange, Lotus Notes, iPlanet).

Eaton Cutler-Hammer – Manager, Systems Engineering **Duration: 1995 to 1999**

Eaton Cutler-Hammer – Senior Systems Engineer **Duration: 1993 to 1995**

Maintained responsibility for developing, maintaining and supporting inventory and quality assurance systems at the company's main distribution center and international logistics center.

Lockheed Martin - Programmer Analyst III **Duration: 1989 to 1993**
Springs Industries - Corporate Industrial Engineer **Duration: 1981 to 1989**

Louis Beck **CONFIDENTIAL** Netsmart

Project Role	Netsmart Team
Senior Solutions Architect **Vital Records Solution Leader**	Consulting, Public Sector

Experience Summary

Over 25 years of experience designing, deploying, managing, and supporting large scale Vital Records implementations. Manages complex multi-phase VRS projects, supporting Netsmart customers with the full range of project activity including requirements validation, oversight of development activities, product installation, acceptance testing, and COTS software problem resolution. Chief business architect and visionary for development of Netsmart's future VRS COTS software products.

Previous Work Experience

Netsmart Technologies, Inc. – Architect/Senior Configuration Specialist **1998 to Present**

Completed projects to date have included statewide vital records deployments for Connecticut, Wisconsin, Illinois, South Dakota, Florida, Nebraska, Ohio, New Jersey, and Nevada as well as two countywide deployments.

The systems deployed support a wide array of Event types, features, and functionality. NCHS Birth, Death and Fetal Death Events have been deployed as well as Marriage, Domestic Partnership, Divorce, Newborn Hearing, Birth Defect Tracking, Putative Father and more. Functionality recently introduced to the product includes Document Tracking, Messaging, Imaging, interfacing with third party fee processing of VitalChek.

Also developed New Jersey's and Florida's legacy Vital Records systems. These systems provided a complete Vital Records system for these two states. The Events ported include Birth, Death, Fetal Death, Marriage, and Divorce.

Technical Experience

Operating Systems:	MS Windows 2000, XP
Databases:	MS SQL Server, DB2/400, Paradox, IBM VSAM, Unisys DML
Languages:	Pascal, Delphi, COBOL, AS/400 CPL
Hardware:	PC, AS/400, IBM mainframe, Unisys A Series, Prime.

Education

BA in Mathematics - Hendrix College	**1979**
MS in Computer Science - Clemson University	**1984**

Relevant Past Experience

- Florida Department of Health statewide multi-event vital records system
- South Dakota Department of Health statewide multi-event vital records system
- Nebraska Department of Health and Human Services statewide multi-event vital records system
- Wisconsin Department of Health statewide multi-event vital records system
- Alaska Department of Health statewide multi-event vital records system

Joanna Breneman CONFIDENTIAL

Netsmart

Project Role	Netsmart Team
Solutions Architect **Vital Records Solution Team**	Consulting, Public Sector

Experience Summary

Over twelve years of Vital Records project implementation experience. Architect/Lead Configuration Specialist for multiple clients including but not limited to Florida, Illinois, Nebraska, and Alaska. Working with client on all phases of software life cycle including analysis of requirements and needs, configuration, coding and implementing, as well as supporting them.

Skills Summary

Operating Systems:	MS Windows 2000, XP
Databases:	MS SQL Server, AS/400, Oracle
Languages:	JavaScript, COBOL, RPG, JavaScript/VbScript, Sql

Relevant Past Experience

Netsmart Technologies - Solutions Architect 1/ 2003-present

- Analyze user requirements identifying any conflicts, proposing and implementing new processes when necessary. Documenting new/changed requirements.
- Create and modify field edits, documents, and reports via application tools, Report Builder, T-Sql, VBScript.
- Database analysis, set up and maintenance in SQL Server using DTS and Sql.
- Map client's data to Netsmart structure for data conversions, imports, and exports.
- Communicate with both business and technical staff to design and document custom changes to application.

Knology, Inc. – Information System Analyst 03/2000 – 12/2001

- Wrote database queries to create user and departmental reports.
- Data mapping from current AS/400 system and software to port to new Unix-based Oracle databases.
- Altered existing RPG and CL programs to accommodate users.

BellSouth Cellular – AS/400 Analyst 05/1999 – 02/2000

- Assisted in analysis of processes and performance of jobs running on AS/400's.
- Monitored, supported, and troubleshot 30-40 AS/400 systems. Assisted with user profile issues and connectivity problems.

Education and Specialized Training

Associate Degree in Computer Technology from Tri-County Technical College	1996
Platinum Technologies NT Certification Training	12/1998
IBM System Operator Certification	11/1999
Oracle University's Introduction to SQL and PL/SQL	05/2001
O'Reilly School of Technology Database Administration & Administering MySQL	01/2011

Jane Tish **CONFIDENTIAL**

Project Role	Netsmart Team
Managing Solution Architect **Vital Records Solution Team**	Consulting, Public Sector

Experience Summary

Jane Tish has over 12 years of experience in Vital Records with the last 8 years dedicated to Netsmart VRS in a wide range of capacities. Her responsibilities have included documentation development, quality assurance testing, requirements development, configuration, table maintenance, report design, curriculum design, training delivery, class scheduling, LMS administration, and customer support.

Education & Specialized Training

A.S. Accounting/Data Processing – Lincoln Land Community College, Springfield, Illinois
B.A. Communications – University of Illinois at Springfield, Springfield, Illinois

HTML, SQL, CFML, Visual Basic – Lincoln Land Community College
Microsoft Access Developer training – Microsoft Corporation

Skills Summary

eLearning Software Administration	eLearning Software Training Delivery
Curriculum Development	Technical Writing of Manuals and Courses
Ad Hoc Report Writing	Custom Report Development
Web Enabled Solutions	Data Collection Solutions
Quality Assurance Testing	Training and Support
Logistics	Certified Trainer
Database Development	Requirements Development

Professional Experience

Netsmart Technologies, Inc.
Vital Records Solutions Architect **Duration: January 2008 – present**

Responsibilities have included requirements development, quality assurance, configuration, report design, end user classroom training curriculum design, scheduling, and execution for statewide vital records systems, online training development, LMS administration, help desk, product demonstrations, and user manual development.

Lincoln Land Community College
Contractual Instructor **Duration: October 1992 – January 2008**

Conducted day and evening microcomputer classes, Individual consulting projects included State of Illinois Employee Benefit Manual.

Illinois Law Enforcement Training and Standards Board
Consultant **Duration: June 2006 – December 2007**

Redesigned and upgraded web site, designed and developed Law Enforcement Instructor Database, created user manuals for firearms registration database.

Illinois Department of Public Health - Vital Records
Consultant **Duration: October 2003 – December 2006**

Database design/development utilizing Microsoft Access and Visual Basic, member of team developing requirements for online birth/death record system, assisted end users with upgrade issues related to Microsoft Products.

Steven H. Egert

SUMMARY

Applications Development Professional with over 20 years of experience building solutions that use leading edge technologies. Background includes software development, building relationships with clients, client/server applications, data warehousing, offshore/outsourcing, requirements gathering and estimation, managing and leading projects through the complete product lifecycle. Developed and managed application solutions in the financial services, health care and learning sectors.

PROFESSIONAL EXPERIENCE

NETSMART TECHNOLOGIES, LISLE, IL **2011-2014, 2015-Present**

Netsmart Technologies is a leading provider of Electronic Medical Record (EMR) software solutions for behavioral health, correctional healthcare, and substance abuse and social service organizations.

Engagement Leader/Project Manager Lisle, IL (4/11 –to 5/14, 9/15- Present)
Supported Application (TIER) utilized Agile/Delphi, SQL Server and Crystal Reports and team used Salesforce and Sharepoint for internal PM purposes. Led multiple EMR projects from the early stages of analysis and design through implementation.

- Managed a virtual team of 15 resources across four locations effectively and received excellent upward feedback from my subordinates.
- Managed a portfolio of clients and was Project Manager on average for about 8-10 implementations at any given time.
- Improved client satisfaction scores immediately by taking a proactive approach to client satisfaction and reaching out to clients and getting them immediate results on tasks and delivering projects on time and budget.
- Piloted efforts to re-engineer processes within company, introduced new Design Specification, Detailed Design, Data Model Specification, and Component Test Plan documentation.
- Re-tooled Requirements Gathering process and GAP Analysis Meeting to better meet client's needs and satisfaction this led to requirements being delivered on time and within the scope of the contract.

PERSONIFY CORPORATION, OAKBROOK, IL **2015-2015**

Personify Corporation is a provider of Customer Relationship Management (CRM) software solutions for associations and non-profit organizations.

Technical Project Manager, Oak Brook, IL (3/15 to 9/15)
Supported Application (Personify 360) utilized the .NET Platform, SQL Server and Crystal Reports and team used ChangePoint and SalesForce for internal Project Management.

- Managed a virtual development team across multiple locations both in the US and India.
- Managed a portfolio of clients and was able to come in and make immediate impact within the organization by streamlining development processes.

STREAMLINE HEALTHCARE SOLUTIONS, LOMBARD, IL **2014-2014**

Streamline Healthcare Solutions is a provider of Electronic Health Record (EHR) software solutions for behavioral health and mental health organizations.

Project Manager/Business Analyst, Lisle, IL (6/14 to 12/14)
Supported Application (SmartCare) utilized ASP.NET,SQL Server 2008 and Crystal Reports and team used ACE Project for internal PM purposes.

- Piloted efforts to re-structure Project Management processes within company, introduced new Project Status Report, Project Charter, and Change Management processes documentation. Created first formalized Project Plan used by organization.

- Received "Outstanding" ratings from clients for Analysis & Design Phase which included the Coordination of the Gap Analysis Meeting and Application Requirements gathering and documentation.

INDEPENDENT CONSULTING, Montgomery, IL **2009- 2011**
Worked on various small to mid-level projects filling many roles including the following: Project Manager, Solution Architect, Business Analyst and Software Developer.

ACCENTURE, Chicago, IL **1998- 2009**
Accenture is a global management consulting, technology services and outsourcing company with more than 181,000 people serving clients in over 120 countries, which generated net revenues of $23.39 billion for the 2008 fiscal year.

Project Manager, St. Charles, IL (8/05 to 7/09)
Led multiple development teams on a variety of large scale application development projects averaging $1 million in budget with an emphasis on bug-free, on-time delivery.

- Eliminated developer setup time and costs completely by researching and later creating a virtual machine that contained all of the pre-required software and source code.
- Reduced time to install and configure Report Manager by working with the client team to get past all technical issues. Documented all steps and added quick-wins for fixing known issues.
- Received 100% Sponsor Satisfaction by architecting, designing and building a one stop solution for course management tasks. This application was also patented and my efforts were recognized as this application was nominated for Accenture Invention of the Year.
- Reduced re-work significantly by adding a 2nd round of reviews, ensuring all code and deliverables were reviewed by both peers and project team lead.
- Significantly reduced time spent up-front on project startup by standardizing all project deliverables and creating a template that contains links to all the deliverable documents and includes steps on how to create documents.
- Actively tracked and monitored the work plan which led to all of my projects both being delivered on time and most importantly on budget.

myLearning Lead Programmer, St. Charles, IL (12/00 to 8/05)
Developed, built and re-engineered the Accenture Learning Management System (LMS). This was the first LMS ever built for the company and had a budget of over $10 million for the first major release.

- Oversaw and coordinated the development efforts with the India Development Center. This was the first time the team had used outsourcing and due to these efforts everything went as planned.
- Maximized team performance by setting up and coordinating the myLearning Overview Cross-Team Training and Enablement Meeting.
- Built the enterprise search and preferences enhancements into the myLearning LMS, each of these components receive better then 80% scores from Customer Satisfaction Surveys.
- Estimation of assigned tasks within 5% of actuals helped lead to all my components being delivered on time and budget.
- Represented team and project by presenting the myLearning application to the organization as a whole at a Community Meeting.
- Architected and Built the first version of the myLearning LMS by taking the Curriculum Guides from Lotus Notes to a web based solution. This was eventually rolled out to the whole company.

FS90 Downloads Team Lead, Northbrook, IL (1998 to 2000)
Managed and oversaw the bi-monthly FS90 Downloads production operations scheduled activities and the Engagement Management Toolset (EMT) Application

- Initiated, coordinated and planned the first EMT Applications Summit. This was the first time the development team and the sponsorship team met face-to-face to go over Application Requirements and was pivotal in seeing the EMT released with little to no re-work. Previously sponsor satisfaction scores were very low and the amount of re-work was considerable.
- Trained application support team to take over the day-to-day handling of the EMT application. This helped free up the development team to better maximize their time on development related activities.
- Exceeded previous records on bi-monthly processing of the FS90 Downloads by re-engineering the process and then delivering reports in record time, cut down the time to delivery by over 50%.
- Led effort to bring the EMT application in house, this effort increased the pipeline within the group and had a direct effect on the revenues within the organization.

EDUCATION

University of Iowa, Iowa 1998
Bachelor of Business Administration in Finance

PATENTS

System and Tools for Business Driven Learning Solution (10022/1246) (D08-047/01983-00/US),_2008
US Patent granted for "Business Interlock Platform invention", 2009

Jonny Larson, PMP
Senior Director, Engineering
Netsmart Technologies

Netsmart Experience Summary

Nearly 5 years of experience in software R&D & Innovations

Education

Kansas State University, Manhattan, KS, *B.S., Electrical Engineering (1994)*

Previous Employment

Sprint

Manager, Systems Integration *(March 2007 – May 2014)*

Sr. Business Analyst Consultant *(January 2006 – March 2007)*

Software Engineer V / Project Manager *(October 2001 – January 2006)*

Universial Underwriters Group / Zurich North America
Project Manager *(1994 – 2001)*

Ravi Boppana

PROFESSIONAL SUMMARY

4 years of experience in Salesforce administration and Integration to NetSuite.
9 years of experience in Report Builder, Crystal Reports, SQL, VRS Configuratiton.

9 years of experience in Programming and Data Processing using COBOL on UNIX and AS/400.

WORK EXPERIENCE SUMMARY

- VRS Solution Architect Netsmart, March 2018 - Present.
- Staff Solutions Engineer at Actian, Greenville, SC August 2015- February 2018.
- Salesforce Administrator at Foxfire, Greenville, SC May 2015 - July 2015.
- Reports Developer at Citigroup, Columbus, OH from May 2014 – December 2014.
- Configuration Specialist at Netsmart Technologies, Greenville, SC, from December 2006 to February 2014.
- Programmer at QS Technologies, Greenville, SC, from December 1997 to November 2006.

PROJECT
Netsmart Technologies
VRS Solution Architect March 2018 – Present

Roles & Responsibilities:
As a VRS Team member, Configured Birth Event for South Carolina including design, development of screens, edits, Work Queues, functions, roles etc., Designed and developed numerous Reports, Documents, Certificates for Birth and Death Events. Designed imports and exports for Birth and Death events.

PROJECT
Actian, Greenville, SC **August 2015 – February 2018.**
Staff Solutions Engineer

Roles & Responsibilities:

Implementation of Salesforce Connector to NetSuite. Onboarding and support for 35 customers using Actian Connector for Salesforce application.

Salesforce customizations including flows to automatically create Orders from Opportunity and Quote. Workflows, Process Builder processes.

Provided ongoing Salesforce.com maintenance and administration services, Including custom objects, workflows, validation rules.

Created various profiles and configured the permissions based on the organization requirements, generating security tokens.

Data migration using Data Loader.

Environment: Force.com, Data Loader, Import Wizard, Visual Force Pages, Workflows, Triggers.

Foxfire Software, Greenville, SC **May2015 – July2015**
SFDC Administrator

Roles & Responsibilities:

- Corporate-wide implementation of Salesforce.com (SFDC) customer relationship management system.
- Coordinated business process review meetings with multiple teams to establish institutionalized workflow processes.
- Involved in handling day-to-day administration, maintenance and support of Salesforce modules for users.
- Customized objects, tabs, records, and views within SFDC to support new workflow processes.
- Created Workflow rules and defined related tasks, email alerts, and field updates.
- Gave profile permissions and knowledge user licenses for all the users and support specific profiles.
- Implemented SFDC web-to-lead functionality into the corporate site and established auto assignment rules for directing to the proper internal leads.
- Analyzed and imported thousands of account and contact records, prior to using the SFDC import wizard, to guarantee the accuracy of information for end clients inside the application.
- Created and maintained SFDC logical reports and dashboards for administration audit.

Environment: Force.com, Data Loader, Import Wizard, Visual Force Pages, Workflows, Triggers.

Fund Accounting - Citigroup **May 2014 – December 2014**

- Developed new Crystal reports for Fund Accounting such as Account Balances, Reconciliation Report, Account Pool Details, Open Items etc. Customized many Crystal reports for Frontier and Unity using Crystal Reports XI and Crystal Reports 8.
- Involved in designing, developing and deploying reports in MS SQL Server environment using SSRS-2008 and SSIS in Business Intelligence Development Studio (BIDS).
- Created **parameterized reports, Drill down** and **Drill through** reports using SSRS.
- Used ETL (SSIS) to develop jobs for extracting, cleaning, transforming and loading data into data warehouse.
- Designed SSIS Packages to transfer data from flat files to SQL Server using Business Intelligence Development Studio.

Vital Records System – Netsmart Technologies December 2006 – February 2014.
Designed and developed numerous reports and documents such as Birth Certificates, Birth Worksheets, Birth Notifications, Death Certificates, Death Worksheets, Burial Permits, Infant Death Report, Out of State Death Transcripts, Timeliness Reports, Technical Specifications Report, Death Records Getting Late Registered, Accounts Receivable, Payments made, Refunds and many more.
Configured NCHS Imports.

Key Responsibilities:

- Create various complex reports using Report Builder (Delphi).
- Enhance/modify existing reports by creating new **Parameters, Formulas** etc,
- Configured NCHS Imports.
- Configured Screens and Edits for various events like Birth, Death, Marriage etc.,
- Modify the existing reports by adding **new logic** and deleting **existing logic** as the line of Business changes periodically
- Migrate reports from Dev to Production
- Export reports in various formats **like MS Excel, PDF, MS Word, Text and CSV**
- Create **nested, conditional subgroups** and **formatting features in** reports
- Create **Sub reports** called from the main report to implement the business logic
- Responsible for defects raised during testing of the reports
- Work on existing reports to optimize and **troubleshoot problems** that occurred due to new business requirements
- Responsible to interact with testing team on a regular basis to make sure the reports are working as desired and make changes if required

PROJECT

Patient Care Management System – QS Technologies – September 1997 – November 2006
Involved in development and maintenance of Patient Care Management System, PCMS, Public Health Care software for Clinics for statewide systems. Modules included Patient Registration, Appointment Scheduling, Immunization Registration, Immunization Inventory, Immunization Tracking, Family Planning, Laboratory, Electronic Claims Submission for Medicaid, Child Health etc.

EDUCATION:
Master of Commerce - Osmania University, Hyderabad, India.
P.G. Diploma in Software Technology - Bureau of Data Processing Systems
Hyderabad, India.
Salesforce Admin 201 certification in 2015.

TECHNICAL EXPERIENCE
Languages: COBOL (MS COBOL 4.5, MS COBOL 2.1 HCL COBOL), SQL, REPORT BUILDER, CRYSTAL REPORTS.
Operating Systems: SCO UNIX 3.2V4.2, AT&T UNIX Release 4, AS/400, WINDOWS.

ATTACHMENT I - SECURITY PROPOSAL

RFP EHP1900000002, Electronic Vital Registration System (EVRS) for State of West Virginia Department of Health and Human Resources

Instructions: The Security Proposal must address all topics below. Failure to provide responses to all required fields mav result in the proposal being eliminated from consideration. Please provide responses in the shaded fields of this attachment. Additional pages may be attached as necessary but must be referenced in the response field.

The vendor solution must be secure, based on a recognized industry standard of security (e.g., as defined by the U.S. Commerce Department's National Institute of Standards and Technology, or NIST). The Vendor must conform to all relevant federal and State regulations and publications within thirty (45) working days of the initial contract term or appropriate renewal term, which will include at a minimum:

Standards:
SSL encryption - Vendor ensures all network traffic is encrypted using an SSL certificate.

Netsmart meets this requirement. Netsmart utilizes SSL certificates for our network traffic.

No Proprietary Encryption -The system will not use proprietary encryption techniques.

Netsmart meets this requirement. Netsmart does not utilize proprietary encryption techniques.

Encryption - The system uses AES 256 or higher encryption.

Netsmart meets this requirement. Netsmart uses industry standard products to protect client data, including 128-256- bit Secure Socket Layer SSL certificates signed by VeriSign, and 168-bit Triple DES IP Sec VPN Connections.

Encrypt Data-at-rest and data-in-transit - The system allows data within the database to be encrypted at data-at-rest and data-in-transit.

Netsmart meets this requirement. Data is encrypted in transit using Transport Layer Security (TLS) and encrypted at rest using FIPS 140-2 compliant EMC Data At Rest Encryption (DARE).

Standard for exchange of data - The standard for exchange of data within the system is a secure hypertext transport protocol or https.

Netsmart meets this standard.

HIPAA rules - Even though the State Vital Records and Statistics function is HIPAA exempt, security rules need to be robust enough to protect the data as described by HIPAA requirements.

Netsmart meets this requirement. Netsmart's data center is HIPAA compliant, and Netsmart's staff undergoes required annual HIPAA training and certification.

Vulnerability Scans - The software can pass industry standard vulnerability scans prior to being installed in a production environment and continuing during production.

Netsmart meets this requirement. Netsmart utilizes secure development frameworks such as Spring, OWASP AntiSamy, Hibernate, and others to prevent the most common vulnerabilities from entering the product.

Role-based access control for all applications which process and/or store sensitive data, to ensure need-to-know policies are enforceable.

Netsmart meets this requirement. Netsmart has established authorization procedures are used to help ensure that users only have access to those services and networks which are appropriate for their role and to their business needs and these are governed by the Access Control policies and standards.

Vendor shall conform all relevant Federal regulations, which will include at a minimum: HIPAA Compliance for Business Associates.

Netsmart meets this requirement. Netsmart utilizes BAA agreements with its clients

Records Usage, Duplication, Retention, Re-disclosure, and Timely Destruction Procedures/Restrictions 5 U.S.C. 552a (o)(l)(F), (H), and (I). 552a

Netsmart meets this requirement. Netsmart has formal policies and procedures that include the records usage, supplication, retention requirements and destruction of data stored in the Netsmart Data Centers.

Netsmart meets or exceeds the requirements in the standards listed below and agrees to comply with the State regulations. Netsmart has a third party conduct annual audit as well as compile and SSAE18 SOC 2 Type 2 report yearly. This report can be shared under a signed NDA. Netsmart's hosting environment is governed by an Information Security Management system that aligns to NIST CiberSecurity Framework.

- **Privacy Act of 1974 at 5 U.S.C.**

  Netsmart meets this requirement.

- **SSA Online Verification System and Security Requirements**

  Netsmart meets this requirement.

- **SSA Agreement with WV HSC regarding SSN Disclosure Authority. (Exhibit A)**

  Netsmart meets this requirement.

- **Federal Information Security Management Act (FISMA), National Institute of Standards Technology's Special Publication (NIST SP) 800-53, NIST SP 800-17 which serve as the baseline.**

  Netsmart meets this requirement.

- **Vendor shall conform all relevant State regulations, which will include at a minimum:**

- **West Virginia Computer Crime and Abuse Act (West Virginia Code, Chapter 61, Art. 3C).**

  Netsmart meets this requirement.

- **West Virginia Code Breach of Security of Consumer Information - (West Virginia Code, Chapter 46A, Art. 2A).**

  Netsmart meets this requirement.

- **The vendor and proposed solution must comply with the West Virginia Executive Branch Privacy Policy: Security Safeguards**

  Netsmart meets this requirement.

- **must adhere to the State of West Virginia's Cyber Security & Privacy policies, procedures, and standards.**

Netsmart meets the requirements in this document. https://technology.wv.gov/security/Pages/policies-issued-by-the-cto.aspx

Vendor shall describe:

1. Its policies and procedures for conducting sub-contractor assurance, validating both the capability

of the vendor to fulfill contracted responsibilities and adhere to all applicable to security & privacy policies and controls of all parties.

All vendor tasks are performed by Netsmart associates.

2. It's company's cyber security and privacy management program providing, at minimum, an overview of the governance structure, cyber security strategy, and the experience of personnel in key security and privacy roles.

The Plexus Cloud control environment is the foundation for Netsmart's hosting services. As such, the control environment at Netsmart sets the tone for the organization and influences control consciousness and discipline of associates. Management at Netsmart emphasizes the importance of controls and ethical behavior throughout the organization.

The primary objective of the Netsmart Plexus Cloud environment is to help ensure the security, stability, and reliability of all users and their data. Netsmart Plexus Cloud environment follows ISO 27001/27002 and National Institute of Standards and Technology ("NIST") Cybersecurity Framework. The ISO 27001/27002 standards are published by the International Organization for Standardization ("ISO"). ISO 27001 specifies a management system that is intended to bring information security under explicit management control. The ISO 27002 standard provides organizations with the best practice recommendations on information security management for use by those who are responsible for initiating, implementing, and maintaining information security management systems.

Netsmart Plexus Cloud follows the ISO 27002 best practice guidelines relating to the following thirteen security control domains:

1. Information Security Policies
2. Organization of Information Security
3. Human Resources Security
4. Asset Management
5. Access Control
6. Cryptography
7. Physical and Environmental Security
8. Communications Security
9. Systems Acquisition, Development and Maintenance
10. Supplier Relationships
11. Information Security Incident Management
12. Information Security Aspects of Business Continuity Management
13. Compliance

The NIST Cybersecurity Framework is maintained by NIST and encompasses NIST SP 800 Series standards. NIST is generally focused on federal environments but now is generally accepted as common practices for most types of IT environments. Within each section, information security controls and their objectives are specified and outlined.

Management
The Netsmart management team has extensive experience in the management of the growth of healthcare software companies. The organizational structure of Netsmart facilitates the flow of appropriately detailed information utilizing an open door communication policy. The Senior Vice President oversees the management and operations of the Netsmart Plexus Cloud environment.

Associates have daily access to management at Netsmart. There is direct communication between associates and management on a daily basis conveying the message that integrity and ethical values cannot be compromised. Management consistently stresses the importance of adhering to established control procedures and solicits recommendations from associates on how controls might be enhanced.

Organizational Structure
The Senior Vice President and his team managers have the ultimate responsibility for all activities within Netsmart, including the internal Plexus Cloud control system, the assignment of authority and responsibility for operating activities, and the establishment of reporting relationships and authorization protocols. When assigning authority and responsibility, management considers the nature of associate positions and helps ensure that an effective segregation of duties is maintained.

Management has given associates the authority to make decisions, based on their knowledge and assigned responsibilities. This has empowered associates to correct problems and suggest process and management improvements. Associates understand this responsibility and involve management in their decision-making processes on an as-needed basis.

Vendor must agree to:

1. Drafting an incident management plan aligned with NIST SP 800-61rev2, whereas both the State and Vendor must mutually approve. The plan must include the outlined scope, responsibility matrix, communications plan, procedures, and deliverables associated with cyber security incident response. In addition, the plan must outline incident reporting requirements, semiannual security reports, and cyber threat intelligence sharing. The Vendor must provide this prior to the first implementation on the Vendor's hosted solution.

2. Adhere to personnel security requirements for background checks in accordance with state law. The vendor is liable for all costs associated with ensuring staff meets all requirements.

3. to drafting an audit management plan designed to assist the state with conducting internal and external compliance audits when the vendor-supplied solution is within the audit scope. At minimum, the plan must include

    a. How the vendor will provide a NIST 800-53 security controls report, outlining organizational responsibilities (State, Vendor, or Shared), per each applicable control for each major application/information system within the audit scope.

    b. Plan of Action & Milestone documentation for non-compliant security & privacy controls when the vendor holds primary or shared control responsibility.

Security Proposal:

The RFP, Section 4.2.2.19 requires the vendor to adhere to specified security controls as well as state and federal regulations as outlined in Attachment I. Please provide a narrative expressing your conformity to the requirements and associated tasks along with any details you wish to provide explaining your approach to conducting the associated activities.

Netsmart recognizes and acknowledges the sensitive and confidential nature of information it may obtain with regard to Subscriber's clients and their treatment, and agrees that information with respect to Subscriber's clients and their treatment will be kept in strict confidence in perpetuity by Netsmart. Netsmart agrees to comply with the Health Insurance Portability and Accountability Act of 1996, as codified at 42 U.S.C. § 1320d ("HIPAA") and any current and future regulations promulgated there under including without limitation the federal privacy regulations contained in 45 C.F.R. Parts 160 and

164 (the "Federal Privacy Regulations"), the federal security standards contained in 45 C.F.R. Part 142 (the "Federal Security Regulations"), and the federal standards for electronic transactions contained in 45 C.F.R. Parts 160 and 162, all collectively referred to herein as "HIPAA Requirements". Netsmart agrees not to use or further disclose any Protected Health Information (as defined in 45 C.F.R. Section 164.501) or Individually Identifiable Health Information (as defined in 42 U.S.C. Section 1320d), other than as permitted by HIPAA Requirements and the terms of this Agreement. Netsmart will make its internal practices, books, and records relating to the use and disclosure of Protected Health Information available to the Secretary of Health and Human Services to the extent required for determining compliance with the Federal Privacy Regulations.

While investments have been made in the best security hardware on the market, the platform must stand on its own as a secure system. This is accomplished using secure development frameworks such as Spring, OWASP AntiSamy, Hibernate, and others to prevent the most common vulnerabilities from entering the product. These protect against vulnerabilities such as cross-site scripting, request forgery, SQL injection, and other common attacks. All PHI stored by the system is also encrypted using licensed AES encryption.

In line with federal HIPAA regulations for transmission security, Netsmart has application and data transmission encryption and recommends to its clients that Netsmart EHRs work within a virtual private network (VPN) environment. Data at rest is encrypted using EMC storage technology. For data in transmission, we use industry-standard products to protect client data, including 128/256-bit Secure Socket Layer (SSL) certificates signed by VeriSign and 168-bit Triple DES IPsec VPN connections.

Netsmart supports multifactor authentication for network access to non-privileged accounts, and multifactor authentication for local access to privileged and non-privileged accounts supporting Out-Of-Band Authentication (OOBA) and device-level identification and authentication. Netsmart's architecture meets or exceed the stated requirements for password-based authentication and PKI-based authentication

Netsmart is proposing a fully hosted solution. Netsmart's Tier 3 data centers incorporate extensive physical and data security safeguards, including data encryption, perimeter and internal systems security, and backup and disaster recovery services. Netsmart's Plexus Cloud hosted environments are SSAE 18 certified following an ISO27000 compliance and governance model, and SOC 1 and 2 certified. In addition, we conduct annual HIPAA and HITECH compliance audits to ensure the safety and security of our clients' hosted data.

Attachment D1_Functional Specifications

A completed *Attachment D1_Functional Specifications* spreadsheet follows this page.

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

OVERVIEW OF THE BUSINESS PROCESSES FOR SETUP OF A NEW USER

The New User Setup Process automates the process of collecting user agreements and setting up the EVRS account as well as validating that the license for professional users exists and has not expired. The function to sign up as a new user is accessed from the State Vital Records webpage. If the user's job function does not require a professional license, once the personal information is complete, the new user signs the User Agreement. The shell of a new account is established in EVRS and the record is queued for the System Administrator to assign a Role and Profile and default password. If the user is a professional, the license number is required. The license number is used to immediately check the Professional Licenses Database to make sure the license exists and has not expired. If the license information is valid, the user finishes the process and the record is queued for the System Administrator. If the license is not valid, one of two things can happen: the application for the new user is placed in a queue for the State to manually validate with the professional licensing board, or the application is rejected.

Description: New user wishes to establish account (Box 1). New user accesses signup from State webpage (Box 2). New user fills in personal and job information (Box 3). Complete? (Box 4). If no, go back to Box 3.

A person wishing to become an electronic user of EVRS accesses the signup form from the State Vital Records webpage. The user completes the name and job information. Job functions are selected from a list. If the job function is associated with a professional license, the license number is a required field. The information entered is edited for completeness and consistency.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
NU-1	Access Signup Function	The new user signup function is accessed from the State Vital Records webpage.	*F - Future*	Netsmart delivery date: Q3/2019
NU-2	Information State Defined	The information collected on the new user screen is State defined and consistent with the information stored in the EVRS User Account File.	*E - Exact Match*	State defined
NU-3	Job Functions Module Specific	The system allows job functions to be module specific.	*W - Workflow or System Configuration Required*	Create a list of all the jobs and filter by the event.
NU-4	List for Job Functions	The selection of the new user's job function is made from a list that includes the roles authorized for EVRS.	*W - Workflow or System Configuration Required*	
NU-5	Jobs Associated with License	The system can distinguish which roles do and do not require a professional license.	*W - Workflow or System Configuration Required*	
NU-6	Professional License Number Required	If a role requires a professional license, the license number is a required field.	*W - Workflow or System Configuration Required*	

NU-7	May be More Than One License Number	In the case of funeral homes, the user enters a license number for the funeral home and also a license number for the funeral director.	*W - Workflow or System Configuration Required*	
NU-8	User Can Exit	The system provides the new user with a way to exit without finishing the application.	*W - Workflow or System Configuration Required*	
NU-9	State Notified	A message containing user identifying information is sent to the System Administrator when a new user aborts the application.	*W - Workflow or System Configuration Required*	
NU-10	Information Not Saved	If the user exits without finishing the application, no pending user account record is saved.	*W - Workflow or System Configuration Required*	

Description: Check Professional License Database (Box 5). License in order? (Box 6). If no, flag placed on record (Box 7). Queue for State review (Box 8).

The combination of the job function and the license number provides the information necessary to search the Professional License Database to determine if the license exists and if it is active. If the license is in order, the user proceeds to sign the User Agreement. If the license does not exist or has expired, the system places on flag on the application and the record is queued for the State to review.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
NU-11	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
NU-12	Immediate Verification	EVRS checks the Professional Licensing Database immediately to determine if the license is valid.	*M - Modify*	
NU-13	Combine Job Function and License Number	EVRS determines the criteria for searching the Professional Licensing Database by combining the job function and license number.	*W - Workflow or System Configuration Required*	
NU-14	License Exists	To be valid, the license number must exist and be assigned to the user applying for a log on.	*W - Workflow or System Configuration Required*	
NU-15	License Active	To be valid, the license number must be active (not expired).	*W - Workflow or System Configuration Required*	
NU-16	License for Facility	The funeral home establishment must have a valid license.	*W - Workflow or System Configuration Required*	
NU-17	Both Licenses in Order	For the new funeral director account to be established, the funeral home license must be active and the funeral director license must be tied to that funeral home license.	*W - Workflow or System Configuration Required*	
NU-18	License Problem	If the license is not valid or not assigned to the individual applying for EVRS access, the system places a flag on the record.	*W - Workflow or System Configuration Required*	
NU-19	Flagging Message	The system provides the user with the reason that the application requires further review.	*W - Workflow or System Configuration Required*	
NU-20	New User Application Review Queue	If an application is flagged for review by the State, the application is placed in the New User Application Review Queue.	*W - Workflow or System Configuration Required*	
NU-21	Application Rejection	If the license cannot be verified by the State, the system rejects the application.	*W - Workflow or System Configuration Required*	
NU-22	Rejection Message	The system provides the user with the reason for the rejection and the recourse.	*W - Workflow or System Configuration Required*	
NU-23	Print Message	The user can print the rejection message.	*W - Workflow or System Configuration Required*	
NU-24	No Account Record Started	When an application is rejected, the record is not saved.	*W - Workflow or System Configuration Required*	
NU-25	Notify System Administrator	A message is sent to the System Administrator of the attempt to create a user account.	*W - Workflow or System Configuration Required*	
NU-26	Message Includes Identification	The message sent to the System Administrator includes the name and contact information for the person attempting to gain EVRS access.	*W - Workflow or System Configuration Required*	
NU-27	Messages Can be Sorted	The messages sent to the System Administrator can be sorted and displayed in multiple state defined orders (e.g., by name, work address, license number).	*W - Workflow or System Configuration Required*	

Description: If the record is complete, new user signs User Agreement (Box 9). Signed? (Box 10) If no, go back to Box 9. If yes, System Administrator establishes new user account (Box 11). Queue for role assignment (Box 12). System Administrator completes setup (Box 13).

Once the user information is complete and valid, the user reads and attests that they understand and will abide by the User Agreement. Once the User Agreement has been signed, EVRS establishes a new account and attaches the signed User Agreement to the record. The record is queued for the appropriate System Administrator to set up the role/profile and default password.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
NU-28	User Agreement Online	The new user can read the entire User Agreement online.	*W - Workflow or System Configuration Required*	
NU-29	Auto-Populate User Agreement	The User Agreement is auto-populated from the validated information entered by the user.	*W - Workflow or System Configuration Required*	
NU-30	Attest to Understanding	The system provides a mechanism for the user to attest that they understand and are willing to comply with the User Agreement.	*W - Workflow or System Configuration Required*	
NU-31	Signature	The system provides a method for the user to electronically sign the form with their signature.	*W - Workflow or System Configuration Required*	
NU-32	Set Up Account	The system uses the information entered by the new user to add a new record to the Account File.	*W - Workflow or System Configuration Required*	
NU-33	Attach User Agreement	The signed User Agreement is attached to the new Account record.	*W - Workflow or System Configuration Required*	
NU-34	Queue for System Administrator	The system queues the record for the appropriate System Administrator who has responsibility for the facility where the new user works.	*W - Workflow or System Configuration Required*	
NU-35	Send Message After State Defined Time Period	If the System Administrator has not assigned the role and profile within a State defined period of time, the system sends a reminder message to the System Administrator.	*W - Workflow or System Configuration Required*	

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date of the release where the feature will be included in the date column.**
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

OVERVIEW OF THE BUSINESS PROCESSES FOR ENTERING AND PROCESSING BIRTH RECORDS

NAPHSIS use case models were used as reference materials for the redesign of the State birth processes. Specific NAPHSIS use case models for starting a birth event include:

EBRS UC 001 v. 2.3 - Create BR for Live Birth
EBRS UC 002 v. 2.1 - Create Paternity Acknowledgement
EBRS UC 006 v. 2.4 - Update a Record
EBRS UC 005 v. 2.0 - Create Multiple Records for Plural Delivery
EBRS UC 010 v. 1.9 - Submit Record
EBRS UC 013 v. 2.3 - Create Delayed Birth Record
EBRS System Specification and Business Rules v. 10.0

BUSINESS PROCESS: START A BIRTH RECORD AT THE FACILITY (HOSPITAL OR BIRTHING FACILITY) OR MIDWIFE ATTENDING A BIRTH AT HOME

OVERVIEW OF THE PROCESS:

Records for births that occur at a hospital or birthing facility are started at the facility by logging into the EVRS system. Minimum demographic information to start a case is entered. The system checks for a match to an existing record in the EVRS database. Potential record matches are reviewed by the user and if a record from the list is found to be a match, the record is retrieved. If no match is found in the EVRS, the system automatically checks the Health Exchange to find a match. If a match is found, the user reviews the information and decides whether to accept the data into EVRS. If yes, a new EVRS record is created and the user makes additions and modifications as necessary based on the parent or facility worksheets. If no match exists in EVRS or in the Health Exchange, a new record is created in EVRS.

As part of the search process, the system searches for and retrieves any data for the mother from the health exchange. This information is dropped into the record and presented as a possible match to the search. If the users selects this record, they have the ability to validate and change the information as needed in order to complete the record. If the birth clerk determines that the Health Exchange data is not a match, the data is not retained in the EVRS. EVRS does not change the data in the Health Exchange database.

If the birth is a plural birth, the user creates a new record for each baby. User defined medical and demographic data common to all babies auto populates from the first plural birth record entered in the system to second plural birth record, and so on. This information includes both the mother and father's or second mother's information as well as the medical information related to the pregnancy. Auto population occurs for the number of babies born as part of the plural birth. Plural births are automatically linked by the system and common information is auto-populated by the system.

The system provides a variety of methods by which a mother and father may complete a paternity acknowledgement. The first method is that the system user may access the paternity acknowledgement fields in the record directly through a tablet or mobile device. The user will complete the fields with each parent. Upon completion of this portion of the record, the system will auto generate a "form" that the parents will review on the tablet and then sign electronically before the user who is a notary. The user will then notarize the paternity acknowledgement through integration with ENotary software. The notarization information is attached to the electronic birth record. The second method is to complete the paternity fields in the system, auto-generate the paternity form, and then print it out for the parent to physically sign. The notary then notarizes the paper document manually and scans and attaches the form to the birth record. Finally, the paternity may be completed electronically, signed electronically by the parents, and then printed and notarized by the notary. The notarized form is then scanned and attached to the record.

Once the record is complete, the Parents' Verification Report can be printed out of the system and reviewed by the parents. If there are errors on the report, the user accesses the record in the system and corrects the information. The user may print a new report for the parents to review. Once the facility determines that the information is correct, the signed verification form, the mother's worksheet, and the facility worksheet are scanned and attached to the record. Upon submission, the record is registered with both a local file number and a state file number.

Births that occur away from a hospital or birthing facility (e.g. home births) may also be reported electronically if attending medical personnel have been granted access to the system. The state will have the ability to data enter home births. As an example, certified midwives who deliver a large number of babies may be granted system access to report births just as if they were in a hospital or birthing facility.

When a mother calls the State office to request a Home Birth Packet, the mother's information is entered into the system and a pre-registration may be started. This is done for tracking purposes by the State.

The State treats Abandoned Infants, Foundlings and Safe Haven cases as one record type; the user has the option of selecting an Abandoned/Safe Haven case when starting the record. The fields are the same as a normal birth record; the edits are minimal and are user-defined.

Description: Birth event occurs at a facility or with a licensed midwife (Box 1). Birth clerk enters minimum information (Box 2).

A system user wishes to initiate a birth record. This can occur as part of pre-registration, after the birth, or any time in between the two events. The user logs onto the system and enters a state defined minimum data set to search for a record. The system first checks the EVRS database to look for a matching record. If a match exists, the record is opened for the user to review and modify. If no match is found, the system sends a request to the Health Exchange. If a match is found, the data is displayed for the user to decide whether or not to use it to create a record in EVRS. If no match is found in EVRS or the Health Exchange, or if the matching record is rejected by the user, a new record is started in EVRS.

If necessary, the user may print a blank parent or facility worksheet from the system to collect the birth information.

The system has various queues available and facilities are able to display the status of records for their facility by status. The queues are in place to assist users with identifying records that need attention. For example, pending queues list the records that have been started and still need to be completed and sent to registration. Records that are more than seven (7) days old and have not been submitted for registration move to the Overdue queue. A pop up message will alert facilities to records that are in the Past Due queue when the user logs on to the system. Facilities that want to review records before they are submitted to the state have an Administrative Review queue that lists the records waiting for final approval.

For records that are submitted to the State but rejected back to the hospital, the system lists these records in the Rejected Records queue.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	
B1	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
B2	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		

B3	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access		
B4	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues		
B5	**Pending Queue**	The system allows users to save a record as pending so that they may come back to the record and finish it later. The record is saved in a "Pending" queue.	***E - Exact***	Save no edit is available depending on security.
B6	**Notarization Queue**	The system provides a queue to display birth records with paternities that are scheduled to be notarized, including who is scheduled to perform the notarization and the date, time and location.	***W - Workflow or System Configuration Required***	Work Queue with fields to be determined. Included fields are on the search results grid.
B7	**Reminder Queue**	The system provides a Reminder Queue. This queue contains records that are (3) or more days old and have not been submitted to the state.	***W - Workflow or System Configuration Required***	Configurable Work Queue
B8	**Overdue Queue**	The hospital user has the ability to view a queue of birth records over seven (7) days old that have not been submitted to the state.	***W - Workflow or System Configuration Required***	Configurable Work Queue
B9	**Administrative Overdue Queue**	For larger hospitals, the system provides an Administrator Overdue Queue for records over seven (7) days old.	***W - Workflow or System Configuration Required***	Have to set up a different Function group for large versus small hospitals to achieve this.
B10	**Administrative Review Queue**	For those hospitals wishing to review records prior to submitting to the State there is an Administrative Review queue.	***W - Workflow or System Configuration Required***	Configurable Work Queue
B11	**Rejected Records Queue**	The system provides a Rejected Records queue. This queue contains records rejected by the State back to the facility for further action/clarification.	***W - Workflow or System Configuration Required***	Configurable Work Queue
B12	**Display Records By Status**	The facility has the ability to display all of its own records for the facility by status.	***E - Exact***	Standard GuiRole default
B13	**Past Due Pop Up Message**	When a facility user logs on, the system will provide a pop up message indicating that there are records that are over three (3) days old. The message will remind the user of the statutory requirement to submit records within seven (7) days of birth.	***M - Modify***	
B14	**Rejected Records Pop Up Message**	When a facility user logs on, the system will provide a pop up message indicating that there are rejected records that need to be reviewed.	***M - Modify***	
B15	**Parent Worksheet**	The system provides a worksheet to capture the parent information.	***E - Exact***	The system can display a worksheet provided by the state.
B16	**Facility Worksheet**	The system provides a worksheet to capture facility information about the birth.	***E - Exact***	The system can display a worksheet provided by the state.
B17	**Worksheets Print From System**	Both the parent and the facility worksheets may be printed from the system.	***E - Exact***	
B18	**Standard Birth Worksheets Available In Multiple Languages**	The system provides the parent worksheet in English and Spanish.	***E - Exact***	The state must provide the worksheet in Spanish.
B19	**Worksheet Configurable**	The parent worksheet can be configured by the State to add a version in a new language, should it be needed in the future.	***E - Exact***	The state would use our Report Builder tool to do this.
B20	**Pre-Registration**	The system allows the user to begin the record during the hospital pre-registration process.	***E - Exact***	The birth record can be populated from the pre-registration event data.
B21	**Pre-Registration Data Limited**	Data captured in the EVRS during pre-registration is limited to parent information.	***E - Exact***	We can capture any information needed by the state from their requirements.
B22	**Birth Record Search**	When a facility user searches for birth records, they are allowed to see records that were started during pre-registration at other facilities.	***W - Workflow or System Configuration Required***	Because the birth and pre-registration would be considered 2 events. The user would search the Pre-registration for all
B23	**Birth Record Transfer**	The system provides the ability to transfer a birth record that was started during pre-registration from one facility to another facility without contacting the originating facility.	***E - Exact***	The movement of data from one event to another is standard.

Description: Found? (Box 3). If no, search Health Exchange. for matching record (Box 5). Found? (Box 6). If yes, display demographic information from Health Exchange (Box 7). Correct Mother? (Box 8). If yes, start birth record in EVRS using demographic info from Health Exchange (Box 9).

To avoid creation of duplicate records, the system always searches for a matching record prior to starting a new record. The system first checks the EVRS database to look for a matching record. If a match exists, the record is opened for the user to review and modify. If no match is found in EVRS and if the birth has already occurred, the system sends a request to the Health Exchange. If a match is found, the data is displayed for the user to decide whether or not to use it to create a record in EVRS. If no match is found in EVRS or the Health Exchange or if the matching record is rejected by the user, a new record is started in EVRS.

Potential matches in EVRS are displayed in a summary list format with the most likely match displayed first. The user reviews the records identified and determines if a match has been found. If yes, the user selects the record. The system authenticates the user and the record ownership to determine if the user has rights to the record. If the user does have rights, the system prompts the user to work in the existing record. If the user does not have rights to work in the record, the system displays a message to the user indicating that s/he does not have ownership rights and to contact the current owner of the record or the State. Access to the record is denied.

In the case of a plural delivery, the system displays the linked records in the system and allows the user to add records to this set of linked records. A unique new record is created for each baby. Common medical and demographic information auto populates from the first plural birth entered in the system to second plural birth, and so on. Unique data for each child is entered manually. Plural births are automatically linked by the system. If the plural delivery included a fetal death, the system allows the user to add a fetal death record and link it to the corresponding plural birth records.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	
B24	**Search Rules**	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules		
B25	**State Defined Minimum Information to Start a Case After Birth**	The minimum information used to start a case after a birth is State defined and different from the minimum information used to start a case before the birth. It is currently envisioned to include, but is not limited to, mother's name, mother's maiden name, mother's date of birth, baby's date of birth, and time of birth.	***E - Exact***	The minimum information defined by the state after birth can be required to continue.
B26	**Search on Birth and Fetal Death**	The system searches both fetal death and birth records within the entire database to determine potential matches.	***W - Workflow or System Configuration Required***	Upon Entry of Birth info, duplicate check for birth is automatic, searching additional events is done easily with
B27	**Check EVRS First**	The system uses the search information entered by the user to search for an existing record in EVRS.	***E - Exact***	
B28	**Display Possible Matches**	If the EVRS search finds potential matches, they are displayed to the user in a list format.	***E - Exact***	
B29	**Order of Matches**	The list of potential matches is ordered from mostly likely to least likely match.	***W - Workflow or System Configuration Required***	State must define what "most likely" means with relation to the data in the record.
B30	**Limit Search**	If the results of a search contain records from outside the facility, the user is prevented from opening the record.	***E - Exact***	The duplicate search will alert them that records are matched but they can't see them.
B31	**Record Outside the Facility Doing the Search**	If the results of a search contain records from outside the facility, the system issues a message to the user asking the user to call the facility listed on the record.	***E - Exact***	
B32	**Open Records from List**	The system allows the user to open and view potential matches from the summary list without losing the original search results.	***E - Exact***	Multiple records can be displayed at the same time.
B33	**Return to Summary List Screen**	The system provides an easy way to disregard the opened record and return to the summary list.	***E - Exact***	Exit out of the screen to return to other screen
B34	**Continue Work**	The system provides an easy way for the user to accept the opened record and begin working in it.	***E - Exact***	The other record has not been saved and therefore has not been really started.
B35	**Check Health Exchange**	If the system does not find a match, the EVRS sends a request to the Health Exchange to see if there's a match.	***M - Modify***	
B36	**Multiple Health Exchange Searches**	If no match is found, the user can request additional searches of the Health Exchange by altering the search criteria.	***M - Modify***	

B37	**Record Found in Health Exchange**	If a match is found in the Health Exchange, the EVRS presents the data to the user for review.	***M - Modify***	
B38	**Add Record to EVRS**	The system provides the user with a method to specify that the data returned from the Health Exchange should be used to create a record in EVRS.	***M - Modify***	
B39	**Reject Record from Health Exchange**	The system provides the user with a method to reject the data from the Health Exchange.	***M - Modify***	
B40	**No Match Found**	If no match exists in EVRS or the Health Exchange, a new record is created in EVRS using the data entered in the search.	***E - Exact***	
B41	**Source Identified**	Every data field in the EVRS record that was supplied by the Health Exchange is identified as originating from the Health Exchange.	***M - Modify***	
B42	**Linkage Search for Plural Delivery**	When the system searches for records that need to be linked for a plural delivery, the system searches all facilities within the State as the Mother may have given birth in one facility and then been transferred to another where the remaining babies were delivered.	***W - Workflow or System Configuration Required***	
B43	**Plural Delivery - Match from Another Hospital**	If, in the linkage process, the system finds a record related to a plural delivery that was created by another facility than the one linking the records, that record retains the originating facility information.	***E - Exact***	The act of linking does not change the facility.
B44	**Unlinked Plural Deliveries**	The system flags unlinked plural deliveries so that they may later be linked by the State.	***E - Exact***	A standard Alert on the linking field displays a message.
B45	**Use Plurality to Test Number of Linked Events**	The system uses the plurality number entered in the birth record to edit and control the number of birth and/or fetal death records that are linked.	***W - Workflow or System Configuration Required***	
B46	**Message for Unlinked Plural Deliveries**	The system includes a mechanism to remind users (message, indicator, queue) that additional birth records that may still be due. Message is issued if user uses plurality functions.	***W - Workflow or System Configuration Required***	This is standard in the plurality process.
B47	**Potential Match is Part of Plural Delivery**	If the search returns a match that is one record of a plural delivery, the system provides an option to add another record to the plural delivery.	***W - Workflow or System Configuration Required***	Match for Plurality can be configured.
B48	**Plural Delivery Confirmation**	The system seeks an actionable confirmation from the user before starting the new record for a plural birth.	***W - Workflow or System Configuration Required***	This is standard in the plurality process.
B49	**System Automatically Links Plural Deliveries**	The system automatically links the individual records in a plural delivery.	***E - Exact***	The NCHS Linkage variable is created with the first entry of a plural birth and is put in all the other records during the
B50	**Linkage Number for Plural Deliveries**	A system generated linkage number is applied to all the records of a plural delivery.	***E - Exact***	Standard
B51	**Linkage Number Indicates Birth Order**	The system generated linkage number is the same for all records within one delivery, plus an indicator of the birth order for each record.	***E - Exact***	Birth order is a separate field entered by the user.
B52	**Linkage Number Included in Statistical Extract.**	The system generated linkage number is included in the statistical extract.	***E - Exact***	The state defined statistical extract can have that linkage number.

Description: If no information was found in the Health Exchange, create new birth record in EVRS (Box 10). If an existing record was found in EVRS, it means someone had already started the record and the clerk can add additional information to the record (Box 4). Enter and edit data (Box 11).

If a match is found in EVRS, it means that someone has already started the birth record and the record is displayed for additional data entry or review. If a match is found in the Health Exchange, the information is displayed for the clerk to review and, if accepted, the new EVRS record is populated with the data received from the Health Exchange. If a match is not found in EVRS or the Health Exchange, a new record is created using the search information entered by the user. Screens specific to a birth record appear and the user enters the information for the birth or modifies data from the Health Exchange. Certain fields related to the user's identified location will automatically populate, such as the facility identifying number, the entire physical address, and the county/census area.

If the birth is a plural delivery and the user has selected this type of birth, the system automatically copies over relevant information from the plural delivery to the next record that is created. The system allows for both live and fetal deaths in a plural birth.

Users are able to directly enter birth data information into the system using hand held devices. The system will search the Health Exchange to determine if data is available to populate the record. Once the data is transferred and/or entered by the user the record is saved for future access and editing.

If a user accidently creates a record using an incorrect event type, this can be corrected without losing the information that has been entered in the system. The ability to make a change to an event type is determined by a user's role. For example, if a user starts a live birth record when the record should actually be a fetal death record, the event type can be changed without losing the relevant data already entered.

	Business Rule Name	***Business Rule Description***	***Vendor Response***	
B53	**Screens Specific to Type of Birth Event to be Started**	The screens are specific to the type of birth event to be started in the system by the facility for example: live birth, abandoned infant/Safe Haven, home birth.	***W - Workflow or System Configuration Required***	There is only one birth main screen. These screens pull fields off that birth screen to make up the special entry
B54	**Include Facility Number**	The system automatically populates the record with the corresponding facility number, physical address, city, zip code and county/census area.	***E - Exact***	Standard Relate field functionality
B55	**Include Child's Medical Record Number**	The system allows the user to enter the child's medical record number into the birth record.	***E - Exact***	Most states have a child medical record field.
B56	**Clone Plural Delivery Information**	The system automatically copies over, or clones, the relevant information on the plural delivery to the next record being created.	***E - Exact***	Standard plurality entry capability
B57	**Plural Deliveries Accommodate Both Live Birth and Fetal Death**	In plural deliveries, the system accommodates both live births and fetal deaths (e.g. all live, all fetal death, and combination).	***W - Workflow or System Configuration Required***	The mechanism has to change slightly going from a birth to fetal.
B58	**Hand-Held Device to Create Record in Patient's Room**	The system provides the capability for a system user to use a hand held device to enter/edit the birth data directly into the system, bypassing the need for a worksheet. The record can then be saved for future access and editing.	***W - Workflow or System Configuration Required***	We would configure a guirole specifically for that purpose on top of the birth record base.
B59	**Check Health Exchange When Using Hand Held Device**	The system will check the Health Exchange for existing data to start the record when a hand-held device is used.	***M - Modify***	
B60	**SSA Electronic Signature for Hand-Held Records**	For records entered with a handheld device, the system must capture an electronic signature for SSA for attesting to the accuracy of the information entered.	***E - Exact***	We can capture signatures.
B61	**Convert One Event to Another**	The system may allow the user, depending on user role, to change the type of event being created without losing the information already entered into the system. For example: If a hospital clerk accidently starts a birth record rather than a fetal death record, the system may allow the user to change the type of event being created without losing the data already entered.	***W - Workflow or System Configuration Required***	We can configure the ability to do a File..New..Fetal from a Birth record to copy the data, but we cannot change just the type of event.

Description: Side by side comparison of prenatal and mother's delivery info (Box 12). Select fields to update (Box 13).

For all birth records, the tabs/screens follow the same order as the parent and facility birth worksheets. The user is able to come back and open a saved record to complete the data entry as many times as needed to complete the record.

The system will automatically check for State defined soft edits and alert the user when found. When a user selects "unknown" for a field, they are asked to enter a comment for that value before proceeding. If a mother chooses to not provide details for any of the fields, the system allows the user to indicate that the mother has refused to provide the requested information. The system asks the user to double key identified sensitive birth data for specific State-defined birth fields such as date of birth, sex of child, and mother's maiden name.

If the parents request a Social Security Number (SSN) for the baby, specific information is required, including the baby first and last name, mothers' name, city of birth, mailing address, city, state and zip code. For out of state births, the system does not request a SSN.

The baby's last name can be changed until a paternity acknowledgement is indicated as signed. Once this is indicated, the fields for baby's last name lock and cannot be changed.

In the case of a plural birth, the user creates a new record for each baby. Defined medical and demographic information auto populates from the first plural birth entered in the system to second plural birth, and so on. This information includes parent information as well as medical information related to the pregnancy. Demographic and medical information specific to each child born is entered. Auto population occurs for as many babies are born as part of the plural birth. Plural births are automatically linked by the system and common information is auto-populated by the system. All records associated with the plural birth are linked and can be easily displayed together. If the plural birth includes a fetal death, the systems allows the user to enter this record and link it to the other records associated with the plural birth.

Changes can be made by the user until submitted for registration. This includes an increase or decrease in the number of births or fetal deaths associated with the plural birth. If one or more of the linked records have been submitted for registration and an update is made to one of the records that has not been submitted for registration, the state is notified that an amendment may be needed on a submitted plural record.

For births that occur on the way to a facility, the record is entered as if the birth occurred at the facility. The user is prompted to enter the physical location of the birth in this type of record and the record is flagged as a birth outside a facility, though no indicator is printed on the certificate.

If a birth occurs somewhere else and the baby is brought to a facility; the facility is only responsible for filing if the infant is determined to be a newborn (24 hours) and has been brought to the facility immediately following birth. Records for infants over 24 hours old follow the process of Unattended Home Birth.

The user will have the option of selecting Abandoned Infants, Safe Haven, or For Adoption Only when starting the record. The fields are the same as a normal birth record and are all available, though not required, to be completed by the user. The edits are minimal and are user-defined.

For Immunization, the record captures whether the Hep B shot was administered and includes the date and time of administration, manufacturer (pick list), lot number, and expiration date. The tab/screen also captures if HBIG was administered, including the date and time of administration and dose, as well as other State defined immunization information. The record can be submitted to the State prior to the completion of the Immunization tab/screen and this tab/screen can be filled in later. If the record has been released to the State prior to the completion of the Immunization tab/screen, all other screens are locked and are read-only. Once the immunization tab/screen is completed, the fields are locked.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
General Rules for All Births				
B62	**Enumeration Extract**	Please refer to General Requirements, section CC Specific Exports and Imports		
B63	Screen Layout	The tabs/screens in the system match the layout of the parent and facility birth worksheets to facilitate data entry.	*W - Workflow or System Configuration Required*	We can make a tab for facility and one for parent.
B64	User Able to Access Record Multiple Times	The user is able to display and edit the record as many times as needed for the facility to enter all the data.	*E - Exact*	
B65	Soft Edits State Defined	All soft edits are state defined by the State.	*E - Exact*	
B66	Edits for Syphilis and Ophthalmia Neonatorum	The system provides state edits for syphilis checks and ophthalmia neonatorum checks.	*E - Exact*	We will take the state edits and implement them.
B67	State Defined List of Birth Defects	In addition to the standard 2003 birth certificate medical information, WV also captures a State defined list of birth defects.	*E - Exact*	We can capture any state specific fields and edits.
B68	Edits for Birth Defects	The system provides State defined edits for a State defined list of reportable birth defects.	*E - Exact*	We can capture any state specific fields and edits.
B69	Soft Edit on "Unknown"	Soft edits for "unknown" values are state defined by the State.	*W - Workflow or System Configuration Required*	
B70	Comment Field for "Unknown"	The system provides the user with a soft edit message requesting that they enter a comment for the "unknown" value before proceeding.	*W - Workflow or System Configuration Required*	
B71	Facility Timeline for Entering Birth Record	Facilities may enter a birth record for a baby born at the facility within one year of birth.	*E - Exact*	Standard edit for most states
B72	Mother Refused to Provide Information	The system provides an option to indicate that the mother refused to provide the information for any given field.	*W - Workflow or System Configuration Required*	This is on a field by field basis.
B73	SSN Override	SSN for both parents is a soft edit and does not stop filing of the birth record.	*E - Exact*	
B74	Confirm Sensitive Birth Fields	The system asks the user to double key specific birth fields. Data is State defined.	*W - Workflow or System Configuration Required*	
B75	Court Order Indicator for Surrogacy	The system has a checkbox to indicate whether intended ~~surrogate~~ parents have obtained a Court Order at the time of birth.	*W - Workflow or System Configuration Required*	
B76	Attach Court Order	If the checkbox is selected, the system prompts the user to attach the court order to the record.	*E - Exact*	We can remind user to scan information depending on a field value.
B77	Intention to File Court Order	The system has a checkbox to indicate if the intended parents have not yet obtained a court order at the time of birth, but intend to do so.	*W - Workflow or System Configuration Required*	
B78	Surrogacy Intended Parents Field	If checkbox for intention to file a court order is selected, a field opens for the facility to input the intended parent's information on the birth record. This information does not print on the birth certificate until the court order is attached to the record. The intended parent information that is captured in State defined.	*W - Workflow or System Configuration Required*	
B79	Surrogate Birth Without Court Order Flagged for Adoption	In the event of a surrogate birth, if a court order has not been obtained by the intended parents at the time of birth, the birth record is flagged as "For Adoption Only".	*W - Workflow or System Configuration Required*	
B80	Check Box for Intention to Obtain Surrogacy Court Order	If checkbox for intention to submit a court order is selected, the system sends the certificate into pending queue.	*W - Workflow or System Configuration Required*	
B81	Lock Father's Fields if No Court Order	If court order checkbox is not selected, father's fields are locked and only birth mother's information may be entered.	*W - Workflow or System Configuration Required*	
B82	Unlock Father's Fields if PAF is Filed	The system provides a checkbox to indicate that a PAF has been filed for surrogate baby, which unlocks the father's fields in the birth record.	*W - Workflow or System Configuration Required*	
B83	Scan Surrogacy Court Order	System allows user to scan and attach court order to birth record that is a surrogacy case.	*E - Exact*	User can attach images to records.
B84	Court Orders for Surrogacy from WV Courts Only	If the court order was not from a WV court, the surrogacy cannot proceed. The system flags the record and places it in a pending queue for review prior to registration.	*W - Workflow or System Configuration Required*	
B85	Surrogacy Queue	Any record that is a surrogate case goes into a Surrogacy queue for review prior to registration, regardless of pending status.	*W - Workflow or System Configuration Required*	Configurable Work Queue
B86	Request SSN for Baby	The system provides a Yes/No dropdown option for the user to select whether the parents are requesting a SSN for the baby.	*E - Exact*	
B87	Hard Edit on SSN Request	The record cannot be submitted without a Yes/No selection for the SSN of the baby.	*E - Exact*	
B88	SSN Request on Out-of-State Birth	The system does not request a SSN for an out-of-state birth record.	*E - Exact*	Standard extract selection criteria
B89	Changes to Record	Any field in the record can be changed until the record is marked as signed.	*E - Exact*	
B91	Lock Fields	The system limits the user's ability to change specific State defined fields after a paternity acknowledgement has been signed.	*E - Exact*	Certain fields can be closed to entry depending on other fields. This is standard in our software.
B92	Lock Print Screen Option	The ability for a user to use the print screen function is defined by the State.	*E - Exact*	The system provides a print screen function that is added to some users. Any print screen or screen capture outside of
B93	For Adoption Only Indicator	The system provides an indicator that a mother has given birth at a facility but intends to put the baby up for adoption.	*W - Workflow or System Configuration Required*	Configurable field
Additional Rules for Surrogacy				
B94	Surrogacy Indicator	The system has a separate screen within the birth record for surrogacy.	*W - Workflow or System Configuration Required*	Configruable tab
B95	Birth Mother's Medical Information	The system captures the medical information of the birth mother.	*E - Exact*	
B96	Names of Intended Parents	The system provides fields for the facility to input the intended parent's information on the birth record. This information that is captured is State-defined and does not print on the birth certificate unless a court order is attached to the record.	*E - Exact*	The system provides this capability.
B97	Attach Court Order	The system prompts the user to attach the court order to the record.	*W - Workflow or System Configuration Required*	Any field can be used to prompt the user.

B98	**WV Courts Only**	The system provides a method to indicate whether the court order was issued by a WV court. If it was not a WV court, the system flags the record and places it in a pending queue for review prior to registration.	***W - Workflow or System Configuration Required***	
B99	**Intention to File Court Order**	The system has a method for the user to indicate that the intended parents have intentions to obtain a court order but have not yet done so at the time of birth. This sends the record into a pending queue.	***W - Workflow or System Configuration Required***	
B100	**PAF screens**	The system allows the biological father to establish paternity through an Affidavit of Paternity.	***W - Workflow or System Configuration Required***	
B101	**Attach PAF**	The system allows the user to scan and attach the notarized PAF form to the record.	***E - Exact***	The system provides the ability to scan and attach documents.
B102	**Surrogate Birth Without Court Order Flagged for Adoption**	If the intended parents have no intentions to obtain a court order, the birth record is flagged as "For Adoption Only."	***W - Workflow or System Configuration Required***	
B103	**Surrogacy Queue**	All surrogate records will be sent to a Surrogacy queue for review prior to registration, regardless of the record's pending status.	***W - Workflow or System Configuration Required***	
Additional Rules for Plural Delivery				
B104	**Plural Delivery Has Own Set of Screens**	screens related to updating each individual record in the plural delivery with information such as date of birth.	***W - Workflow or System Configuration Required***	
B105	**Plural Delivery - Display All Outcomes**	In a plural delivery, the system makes it easy to display all the records (birth, fetal death) associated with the plural delivery together.	***W - Workflow or System Configuration Required***	
B106	**Type of Plurality**	The system allows user to change type of plurality (live / fetal death).	***N - Cannot Meet***	
B107	**Plural Delivery Common Fields State Defined**	The state defines which fields are considered common fields in a plural delivery that auto populate all remaining records in the plural delivery after the first record has been entered.	***E - Exact***	The state CAN determine the fields to copy or not copy using our TWIN_SAVE table mechanism.
B108	**Decrease Plurality of Delivery**	If the user needs to decrease the plurality of the delivery, the system displays the list of linked records based on the original plurality of delivery and the user chooses for deletion as many records from the list as the difference in the original and new plurality of delivery.	***W - Workflow or System Configuration Required***	
B109	**Increase Plurality of Delivery**	If the user chooses to increase the plurality of delivery, the system displays the existing linked records.	***W - Workflow or System Configuration Required***	
B110	**Confirm Increase/Decrease Number of Plurality in Delivery**	The system asks the user to confirm the addition or deletion of records.	***W - Workflow or System Configuration Required***	
B111	**Prompt User to Enter Number of Live Births and Fetal Deaths**	The system prompts the user to enter the number of live births and fetal deaths in the plural delivery.	***W - Workflow or System Configuration Required***	
B112	**Fetal Death**	The system provides an easy way to create and link a fatal death record for a fetal death that is part of a plural delivery.	***E - Exact***	A field is open for the user to enter the linking number.
B113	**Updating Information on Linked Records**	The system allows the user to update information on linked records that have not been submitted for registration.	***E - Exact***	Any information can be updated before the record is submitted or registered.
B114	**Send Notification to State on Linked Record Update**	If some of the linked records have already been submitted while others have not, and common information is changed on those not submitted, the system automatically sends a notification to the state indicating that an amendment may be needed on the records already submitted.	***W - Workflow or System Configuration Required***	
Additional Rules for In Transit / Born Outside a Facility Birth				
B115	**Child Born in Transit**	If a child is born while enroute to a facility and not removed from the moving conveyance, the hospital processes the birth record as if the child were born within the physical hospital/birthing facility building. The hospital is listed as the physical location of birth.	***E - Exact***	This is a business rule and the system can handle it with regards to the requirement.
B116	**Display "En Route"**	The record displays "En Route" to express that the child was born in transit in order to facilitate statistical analysis of birth.	***E - Exact***	En Route has been previously configured.
B117	**Removed from Conveyance**	If the mother/baby is removed from the conveyance, the birth is recorded where they were first removed.	***E - Exact***	We exactly can meet this business requirement to recording the location.
B118	**Born Outside Facility**	The system provides a "Born Outside a Facility" checkbox for a user to indicate when a child is born en route to a medical facility. This opens address fields for the user to enter the physical place of birth. The child's birthplace is entered as the first place they are removed from the moving conveyance I.E. "mile marker 23" or "123 main St." etc.	***W - Workflow or System Configuration Required***	.
B119	**No Printed Indicator of Born Outside Facility Birth**	The birth record is flagged in the system as a "Born Outside a Facility" birth, but no indicator is printed on the face of the certificate.	***W - Workflow or System Configuration Required***	
B120	**Child Born Outside Facility Then Brought to Facility**	In the case where a child is born outside of a facility and then transported to a medical facility, the facility is responsible for completing the birth record.	***E - Exact***	Business rule that our software is capable of.
B121	**Unattended Home Birth**	The system provides an "Unattended Home Birth" checkbox for a user to indicate when a child is born at home. This opens state defined fields so that the user may enter the location of the unattended home birth.	***W - Workflow or System Configuration Required***	
B122	**Must Be Born Within One (1) Year**	The system does not allow a facility to enter a birth record for an infant over one (1) year old.	***E - Exact***	Standard practice in most states
B123	**Delayed Birth After One (1) Year**	If a facility attempts to start a birth record for a infant after one (1) year from the date of birth, the system alerts the user that a delayed certificate of birth is required and must be filed with the State, and prevents the user from starting the record.	***E - Exact***	Standard practice in most states
Additional Rules for Foundling Infants				
B124	**Foundling Infant Record**	The facility has the option to start a birth record for a foundling infant. Edits are relaxed to allow for blank fields and/or "unknown" to be entered in the field for information not needed/not available.	***E - Exact***	Standard practice in most states
B125	**Separate Foundling Infant Screen**	Reports of foundling infant are entered on a separate set of screens specifically designed for data entry of foundling infant information.	***E - Exact***	Standard. Separate screen based on reg type
B126	**Parental Information for Foundling Infant**	The user has the option to indicate a baby as a Foundling Infant and that no mother is present. The system does not display the screens that do not apply such as parental information and mother's medical information.	***W - Workflow or System Configuration Required***	Checkbox to indicate Foundling Infant with no mother is present and when it is checked, protect parent and mother medical tabs.
B127	**Mother May Give Limited Information**	The user has the option to indicate a baby as a Foundling Infant and that limited information is available from the mother. The system display all the tabs for parental information and mother's medical information but the edits are relaxed.	***W - Workflow or System Configuration Required***	Checkbox to indicate foundling infant with minimum info. Open parental and mother's medical information tabs. Make the fields not required.
B128	**Edits of Foundling Infant Record**	The foundling infant record edits are distinct from those of a regular birth record.	***E - Exact***	
B129	**Foundling Infant Medical Record Number**	The system requires the user to enter the child's medical record number in the foundling infant record.	***E - Exact***	
B130	**Signature on Foundling Infant Records**	Signature on foundling infant records require three signatures; that of the birth clerk, and two signatures from Child Protective Services (case worker and the supervisor).	***W - Workflow or System Configuration Required***	Add and assign three signature fields, one for each function group.
B131	**State Creates Foundling Infant Record**	The system provides the capability for the State to create the Foundling Infant record of live birth using the same screens as a facility would use.	***E - Exact***	
B132	**Foundling Infant Record at State**	If the foundling infant record is started at the State, the system captures information regarding supporting documentation.	***W - Workflow or System Configuration Required***	Add supporting documentation tab for state users
B133	**Foundling Infant Signature at State**	Foundling infant records started at the State only require one electronic signature by a vital statistics employee from the State. That user is State defined.	***W - Workflow or System Configuration Required***	Add and assign signature field for the state users

B134	Founding Infant "Unknown" Responses	Unknown responses for foundling infant records do not require the user to enter comments into the record.	*E - Exact*	
B135	SSN Request for Foundling Infant	The system does not generate a request for SSN for a foundling infant record. The field to request a SSN is greyed out/locked.	*E - Exact*	
B136	Void Foundling Infant Record	The State has the ability to void an foundling infant record.	*E - Exact*	
Additional Rules for Safe Haven Cases				
B137	Safe Haven Record	The facility has the option to start a birth record for a Safe Haven case.	*E - Exact*	
B138	Screens for Safe Haven Cases	The user selects the option to enter a Safe Haven case; the system displays all birth screens including parental information and mother's medical Information but information is optional and not required to be submitted.	*E - Exact*	
B139	Edits of Safe Haven Cases	The Safe Haven record edits are distinct from those of a regular birth record.	*E - Exact*	
B140	Safe Haven Case Medical Record Number	The system requires the user to enter the child's medical record number in the Safe Haven record.	*E - Exact*	
B141	Signature on Safe Haven Records	Signature on Safe Haven records require three signatures; that of the birth clerk and a second and third approver as defined by the State.	*W - Workflow or System Configuration Required*	Add and assign three signature fields, one for each function group.
B142	State Creates Safe Haven Record	The system provides the capability for the State to create the birth record for a Safe Haven case.	*E - Exact*	
B143	Safe Haven Record at State	If the Safe Haven record is started at the State, the system captures Information regarding supporting documentation.	*W - Workflow or System Configuration Required*	Add supporting documentation tab for state users
B144	Safe Haven Signature at State	Safe Haven records started at the State only require one electronic signature by a vital statistics employee from the State.	*W - Workflow or System Configuration Required*	Add and assign signature field for the state users
B145	Safe Haven "Unknown" Responses	Unknown responses for Safe Haven records do not require the user to enter comments into the record.	*E - Exact*	
B146	SSN Request for Safe Haven Cases	The system does not generate a request for SSN for a Safe Haven record. The field to request a SSN is greyed out/locked.	*E - Exact*	
B147	Void Safe Haven Record	The State has the ability to void a Safe Haven record.	*E - Exact*	
B148	Convert Birth Record to Safe Haven	A birth record can be converted to a Safe Haven record only by the State.	*W - Workflow or System Configuration Required*	Assign and open REG TYPE CODE field to the specific users. User can enter 2 in the reg type code field and save
B149	Remove Mother Demographic Information	If a birth record is converted to a Safe Haven record, the mother's demographic information is retained in the system but restricted from being printed on the birth certificate. Restricted fields may include, but are not limited to, Name, SSN, and other State-defined data.	*W - Workflow or System Configuration Required*	Modify the report builder rtm to add some logic to remove mother's demographic information from the certificate if printing a safe haven record.
B150	Preserve Mother's Medical Information on Safe Haven Records	For birth records that have been converted to Safe Haven records, the mother's medical information is preserved but restricted from being printed on the birth certificate.	*W - Workflow or System Configuration Required*	Modify the report builder rtm to add some logic to remove mother's demographic information from the certificate if
B151	Restrict Mother's Demographic Information	The mother's demographic information may only be accessed by an authorized user based on profile and role. Restricted fields may include, but are not limited to, Name, SSN, and other State defined data.	*W - Workflow or System Configuration Required*	Modify the report builder rtm to add some logic to remove mother's demographic information from the certificate if printing a safe haven record.
B152	Extraction of Mother's Demographic Information	Only State defined fields from the Mother's demographic information will be extracted for statistical reporting.	*E - Exact*	Standard Exports utility
B153	Extraction of Mother's Medical Information	The system allows mother's medical information to be extracted for statistical reporting.	*E - Exact*	Standard Exports utility
B154	Administrative Hold Queue	The system sends all Safe Haven records into an Administrative Hold queue that can only be accessed by an authorized user based on profile and role.	*W - Workflow or System Configuration Required*	Configurable Work Queue
Additional Rules for a Midwife Entering a Home Birth Record				
B155	Midwife Birth	User is prompted to select whether the home birth was attended by a midwife.	*E - Exact*	
B156	Notation for "Home Birth" in Record	The birth record is flagged as a home birth, but no indicator is printed on the face of the certificate.	*E - Exact*	
B157	Midwife Records Do Not Automatically Register	Records entered by a Midwife for a home birth do not automatically register and must be reviewed and approved by the State.	*E - Exact*	
Additional Rules for Immunization and Newborn Screening				
B158	Immunization Alert	The EVRS alerts the users to start a vaccine record when birth record is started.	*W - Workflow or System Configuration Required*	We can display a state defined alert when the birth record is started.
B159	Immunization Fields to Be Captured	Fields to be captured on immunization tab/screen include those on the 2003 standard birth certificate. In addition, WV also captures fields including, but not limited to: if Hep B shot was administered, including date & time of administration, manufacturer (pick list), lot #; and expiration date of vaccine; if HBIG was administered, including date and time of administration and dose, manufacturer (pick list), and lot #; if mother was tested for syphilis while pregnant, name of the lab that performed testing whether or not eye propholaxis was administered, and if it was administered capture date of administration and what medication was used.	*E - Exact*	All of the pertinent immunization can be entered in a unique tab on the birth screen.
B160	Not Required for Submitting Record	The birth record may be submitted to the State without the completion of the Immunization tab/screen.	*E - Exact*	
B161	Can Be Added Later	The fields for the Immunization tab/screen may be populated after the record is submitted to State.	*E - Exact*	
B162	Immunization Fields Open and All Other Tabs/Screens Lock	The fields on the Immunization tab/screen remain open until populated and all other tabs/screens are locked once submitted to the State.	*W - Workflow or System Configuration Required*	Protect all the tabs except immunization based on submitted to state field
B163	Immunization Fields Lock	The fields on the Immunization tab/screen lock once submitted to the state.	*W - Workflow or System Configuration Required*	Protect immunization tab based on submitted to state field
B164	Newborn Screening Indicator	The EVRS provides a yes or no indicator for whether or not Newborn Screening has occurred.	*E - Exact*	
B165	Newborn Screening Number	The EVRS provides the ability to enter the Newborn Screening number into the birth record.	*E - Exact*	
B166	Mother's Waiver to Refuse Immunization	If the mother refuses to allow newborn screening or immunization, an indication that a waiver was completed is entered into the system.	*E - Exact*	

Description: Is PAF involved (Box 14). If yes, Go to Process Paternity Flow.

Please See Paternity Flow-

Description: If no PAF is involved, preview/print hospital/parent verification report (Box 15). OK? (Box 16).

When the birth record is complete, the hospital prints a verification form for the hospital and the parents to review. The verification form is clearly marked as Verification Form, a non legal form that does not contain any medical information. If the name entered for the baby will not be accepted by the SSA, the system may print a statement notifying the parents of this issue. The verification form will have signature locations for two parent, the labels for which will populate based on the requested parent type at creation of the record (i.e., parent 1/parent 2, mother/father, etc.). The parents will sign the form once the information is verified as accurate, and the signed form will be retained at the hospital. The hard copy of the signed verification form is scanned and attached to the record. The system also allows the user to capture the parents' signature on a hand-held device.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*

B167	Forms	Please see Reports and Forms - Appendix C for rules on forms.		
B168	Reports	Please see Reports and Forms - Appendix C for rules on reports.		
B169	Print Verification Form	Once the record has been completed, the system allows the user to print the verification form for the parent(s) to verify that all the demographic information has been entered correctly.	*E - Exact*	State needs to provide the sample
B170	Two Signature Locations	The verification form contains two signature locations with labels populated based on the requested parent type at creation of the record (mother/mother, mother/father, etc.).	*E - Exact*	State needs to provide the sample
B171	Print Verification Form More Than Once	The verification form may be printed as many times as needed to ensure that the information has been entered correctly.	*E - Exact*	
B172	Print Multiple Copies at Once	The user can select the number of copies of the verification form to be printed at one time.	*E - Exact*	
B173	Signed Verification Form	The system allows the user to select Yes/No if the verification form was signed by either parent.	*W - Workflow or System Configuration Required*	Able to configure new fields
B174	Verification Form Not Signed	The system provides a comment box for the user to indicate why neither parent signed the form.	*W - Workflow or System Configuration Required*	Able to configure new fields
B175	Scan and Attach Verification Form	The system allows the user to scan and attach the signed verification form to the record.	*E - Exact*	
B176	Use of Symbols in Names	Fields for given names cannot contain symbols that have no phonetic standing on their own other than numerals used for generational identifiers or common punctuation such as hyphens or hyphenated names, apostrophes used as part of a given name or surname, commas to separate surnames from generational identifiers, and periods in generational identifiers or when an initial or abbreviation is used as part of a name.	*E - Exact*	
B177	Generational Identifier	Only one (1) generational identifier is permitted and must be of common usage.	*W - Workflow or System Configuration Required*	
B178	Use of Names	Field for given names cannot contain writing that is not part of the standard twenty-six letter English alphabet or modifications thereof; Name cannot contain commonly recognized profanity or is otherwise demeaning. Use of professional or educational honorific acronyms (for example PhD) are not permitted. A diacritical mark (accents) over letters, etc.	*E - Exact*	
B179	Use of Diacritical Marks in Names	The system permits the entry of diacritical marks on the birth record.	*E - Exact*	
B180	Printing of Diacritical Marks in Names	The system prints diacritical marks on the birth certificate.	*E - Exact*	
B181	Submission of Names with Diacritical Marks to SSA	The system will remove diacritical marks when transmitting names to SSA.	*E - Exact*	
B182	SSA Name Acceptance	The system may print a statement on the birth verification form if the baby's name will not be acceptable to SSA.	*W - Workflow or System Configuration Required*	State must provide the sample
B183	Verification Form Clearly Marked "Not Legal Copy"	The printed verification form indicates that it is not a legal birth certificate.	*W - Workflow or System Configuration Required*	State must provide the sample
B184	Verification Form Does Not Contain Medical Information	The printed verification form does not display or print any medical information.	*W - Workflow or System Configuration Required*	State must provide the sample
B185	Allow Hand-Held Device to Capture Digital Signature	The system allows the user to capture the parents' signature on the verification form using a hand-held device.	*E - Exact*	

Description: Scan and attach supporting documents to record (mother's worksheet, facility worksheet, completed Paternity and any other documents to record) (Box 17). Submit record for registration (Box 18). Go to Registration Flow.
When the record is complete, the facility marks the record as "complete", electronically signs the record, scans all the worksheets and the record is registered.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
B186	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
B187	Confirm Parent Worksheet Review	For records that were partially completed using data from the Health Exchange, the user will take a specific action to confirm that the Parent Worksheet was used to validate the parent information.	*W - Workflow or System Configuration Required*	Check box and assign to specific function groups
B188	Confirm Facility Worksheet Review	For records that were partially completed using data from the Health Exchange, the user specifies whether or not a Facility Worksheet was also used to populate/validate the facility information.	*W - Workflow or System Configuration Required*	Check box and assign to specific function groups
B189	Determine If Worksheets Need to Be Scanned	The system has the capability to determine if a parent and facility worksheet was used to populate the record.	*W - Workflow or System Configuration Required*	Check box and assign to specific function groups
B190	Scan Worksheets	If a parent and/or facility was used to populate the record, the system makes sure the document(s) are scanned and attached to the record prior to submitting the record to the State.	*E - Exact*	
B191	Facility Signs Record	The certifier signs the record electronically before it is submitted to the State.	*E - Exact*	
B192	Authorized User Can Certify Record	Allow an authorized user at facility to certify record if no physician or birth attendant is available to verify medical information.	*E - Exact*	
B193	Birth Confirmation Within Facility	The system provides the ability for birth records to be queued internally for a second review to confirm the birth prior to submitting to the State. This is not a quality assurance review, simply confirmation that the birth did occur in the facility to help ensure that fraud is not taking place.	*E - Exact*	
B194	Second Review Location Specific	The ability to queue records for birth confirmation is specific to each location and the functionality may be turned on or off as required by each facility.	*E - Exact*	
B195	Second Review Signature	The system provides the ability for the second reviewer to confirm that each record has been reviewed and attest that the birth did occur as indicated on the record.	*W - Workflow or System Configuration Required*	Add signature field and assign to specific user group.
B196	Flag Records Not to Be Submitted	If the confirmation process finds fraudulent records, the reviewer can flag these records to prevent them from being submitted to the State.	*W - Workflow or System Configuration Required*	
B197	View Sub-Set of Data	Before signing, the signer may review a listing containing a sub-set of data for a range of birth records.	*W - Workflow or System Configuration Required*	Configurable report
B198	Delete/Void Records	Only State authorized personnel may delete and/or void birth records.	*E - Exact*	
B199	Facility May View Records After Submission	Hospitals may view but not alter birth records they created after they have submitted them to the state, except for the immunization tab.	*E - Exact*	
B200	Facility May View and Perform Ad-Hoc Reports Against Records	Hospitals may run authorized ad-hoc reports that include records already submitted.	*E - Exact*	
B201	Lock All Fields on Submitted Records	All birth fields (except for immunization) are locked from further updating at the facility once the birth record is submitted to the state.	*W - Workflow or System Configuration Required*	Protect all the tabs except immunization based on submitted to state field.
B202	Indicate Paternity Form to Follow	For facilities without a scanner available; the system allows the record to be submitted without the corresponding Paternity form, but the record will indicate that the Paternity form has been signed/notarized and will be submitted by mail.	*E - Exact*	

B203	Reminder to Submit PAF	If paternity form to follow indicator is selected, system generates letter reminding parents to complete and submit a PAF.	*W - Workflow or System Configuration Required*	Create a letter to be printed from birth record. State needs to provide the sample.
B204	Do Not Issue When Paternity Form in Mail	If a birth record is submitted with a paternity form on the way, a "do not issue" flag is applied to the record.	*W - Workflow or System Configuration Required*	Add a do not issue flag and set to Y when the form is in the mail. When state receives the form they can clear this field
B205	Plural Delivery	Records from a plural delivery may be submitted at different times.	*E - Exact*	
B206	Submit Birth Record with Minimal Information in Special Circumstance	The system allows a user to submit a birth record with minimal information in cases where the mother refuses to provide information or relinquishes the child.	*E - Exact*	The minimum information defined by the state after birth can be required to continue.
B207	Scan and Attach Verification Form	The hospital scans and attaches the verification form to the birth record.	*E - Exact*	
B208	Lock Immunization Record	Once the hospital completes the Immunization tab, the full birth record is locked.	*E - Exact*	

BUSINESS PROCESS: UNATTENDED HOME BIRTH

This process describes the steps for an unattended home birth that occur outside a medical facility and without a licensed midwife in attendance, and where the mother and baby were not transported to a medical facility within 24 hours of the birth.

The Home Birth Packets are obtained from the State and the State enters the requestor's information in the system for tracking purposes. If the requestor is eligible to receive the packet, the State sends (or gives) the packet to the requestor. After the birth, the Home Birth Packet is completed by the parent(s) or midwife and brought in or mailed to the State. The user at the State starts a record in the system and attaches proof of birth, pregnancy documentation, and evidence to prove that the mother was in the State during the timeframe of the birth. The user reviews the documentation provided as evidence that the unattended home birth occurred in the State. If there are no errors, the verification form is printed for review by the parent(s). If a parent identifies errors with the information entered, the user can edit the information and reprint the verification form. Once the information is correct, the record can be registered.

If the documentation is incomplete or witnesses to the birth are required, the record is saved in a pending queue and a letter is generated by the system indicating what is required to be able to complete the unattended birth record. Multiple letters may be issued for one record. For unattended home births, the system will include the following three (3) fields on the record: attendant, certifier and witness. The attendant and certifier fields will be greyed out and say "none." The witness field will be available to input the name of a parent, other than the mother, or another witness. Any attendee, certifier, or parent must file the birth record if present. In the case of an unattended home birth where the mother was the only witness to the birth, she can select a checkbox on the worksheet which prompts her to fill out her personal information and sign attesting to the birth of the child on the date and at the address provided on the worksheet. In this case, the mother is indicated as the Certifier/Attendant to the birth. When Vital Records is inputting the information into the EVRS, the checkbox opens fields that allow mother's information to be added to the record under "Certifier/Attendant". Upon receipt of the necessary information, the State accesses the pending queue, opens and updates the record, and scans the received documentation. This is an iterative process until such a time as the record can be filed.

After a State defined period of time, records that have not been completed will be voided or purged from the system.

Please note: All the rules, as defined in Start a Birth Record apply to the data entry of a paper birth record at the State. In addition, the following rules apply to unattended home births.

Description: State receives documents from parents (Box 1); State user logs into EVRS and searches for the mother and/or child (Box 2). Match found? (Box 3). If no, start a new record (Box 4). If yes, open the existing record (Box 5)

The Home Birth Packets are obtained from the State. The system user enters the requestor's information in the EVRS system for tracking purposes. If the requestor is eligible to receive the packet, the user gives/ sends the packet to the requestor. After the birth, the Home Birth Packet is completed by the parent(s) and brought in or mailed to the State. The user enters the search criteria to find an existing record. If the record is found, the user opens the record and begins data entry. Otherwise, the system creates a new record for the user to access.

B209	User Log In	Please see the General Requirements section B - User Authentication for rules related to user log in		
B210	User Profiles	Please see the General Requirements section C - Roles, Profiles and Institutional Affiliations for rules related to user log in.		
B211	Record Ownership and Access	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
B212	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
B213	Starting a Record at a Facility	Please see all the business rules related to starting a record as these apply to unattended home births		
B214	Paternity Rules	Please see all the business rules related to paternity at the facility and amendments as these apply to unattended home births.		
B215	Home Birth Option	The system provides a home birth option to be selected by the user.	*E - Exact*	
B216	Indicator for Intended vs. Unintended Unattended Home Birth	The system captures whether the unattended home birth was intended or unintended.	*E - Exact*	
B217	Record Request for Home Birth Packet	At the time a parent requests a Home Birth Packet, the user enters State defined information to document the request, such as but not limited to State ID, Passport, and military ID.	*E - Exact*	
B218	Search on Requestor	The system will search on the requestor to see if this is the first request or if there have been prior requests for a Home Birth Packet.	*E - Exact*	
B219	Prior Request Message	If prior requests have been made within the last year, the system will return a message indicating that the requestor has requested a Home Birth Packet in the last year.	*E - Exact*	
B220	View Prior Request	The system will allow the user to view all prior requests made regardless of the location where they were made.	*E - Exact*	
B221	Allow New Request	The system allows the user to continue and create a new request if the user deems the request appropriate.	*E - Exact*	
B222	Requestor Information	The system provides fields to capture the requestor's name, address, phone number and ID number and type. ID may be a State driver's license or US Passport, or other State defined ID.	*E - Exact*	
B223	Mother's Information	The system provides fields to capture the mother's name, address and phone number.	*E - Exact*	
B224	Due Date	The system provides fields to capture the estimated due date and/or actual due date.	*E - Exact*	
B225	Date Packet Provided	The system will capture the date the packet was provided to the requestor. This date will be auto-generated by the system.	*E - Exact*	
B226	Queue for Issuance	Once completed, the request for a Home Birth Packet is queued as a Pending Home Birth request for issuance.	*E - Exact*	
B227	Requests for Home Birth Packet Linked to Record Once Created	Once the state starts a Home Birth Packet request, the system links the record and request.	*E - Exact*	
B228	Printing of Certificates	Printing of certificates can be done either in registration or the front desk to fulfill the request.	*E - Exact*	
B229	Tab /Screen Order	The screen and tab order for a home birth match the home birth worksheet.	*E - Exact*	
B230	No Medical Record Needed in Home Birth	For a home birth, the State can start a birth record without the medical record number.	*E - Exact*	
B231	Pending Request	The document is held in a pending queue until the completed packet is received.	*E - Exact*	
B232	Remove Abandoned Requests	The time after which pending requests for Home Birth Packets are removed is State defined.	*E - Exact*	

Description: Start birth record in the system (Box 6) and scan documentation (Box 7)

When the user is ready to start the record, the user selects "home birth" and the format of the tabs/screens match the home birth worksheet. The required information from the worksheet is entered in the system and supporting documentation is indicated. Any supporting documentation is scanned and attached to the record.

Unattended home births have three (3) fields for attendant, certifier and witness. The attendant and certifier fields will be grayed out because there are none. The third field is used to record the "Witness," who is neither an attendant nor certifier. Documentation or an affidavit may be produced by the witness.

In the case of an unattended home birth where the mother was the only witness to the birth, she must check a checkbox on the worksheet which prompts her to fill out her personal information and sign attesting to the birth of the child on the date and at the address provided on the worksheet. In this case, the mother is indicated as the Certifier/Attendant to the birth. When Vital Records is inputting the information into the EVRS, the checkbox opens fields that allow mother's information to be added to the record under "Certifier/Attendant".

Please note: All rules that relate to starting a record, record edits, electronic signatures, queues, registration and issuance apply to an unattended home birth records and are not repeated here. The business rules in this section are specific to unattended home birth records started at the State.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
B233	**Rules for Facility Birth Apply**	All rules that relate to starting a birth record, record edits, electronic signature, queues, registration and issuance apply to an unattended home birth and are not repeated here.		
B234	**Enter Address of Birth**	The system allows the user to enter the address where the child was born (i.e., 102 Main Street) for a home birth.	*E - Exact*	
B235	**Select Supporting Documents**	The system allows a user to select, from a pre-defined list, the supporting documents that were presented as proof of the home birth.	*E - Exact*	
B236	**Check Box for Mother as Certifier**	A check box is selected if mother was only attendant to the birth. The check box indicates that the mother is attesting to attending the birth.	*E - Exact*	
B237	**Check Box Opens Fields for Mother as Certifier**	When the "Mother as Certifier" check box is selected, additional fields open to capture the mother's first and last name as the Certifier/Attendant to the birth.	*E - Exact*	
B238	**Scan Signed Signatures**	The system prompts a user to scan submitted signed documentation and attach it to the electronic home birth record.	*E - Exact*	
B239	**Indicate Scanned Documents Attached**	Supporting documentation is scanned into the system and attached to the electronic record.	*E - Exact*	
B240	**Notation for "Unattended" Made in Record**	The birth record is flagged as an unattended home birth in the birth record, but no indicator is printed on the face of the certificate.	*E - Exact*	

Description: Record complete? (Box 8); Print out verification form if desired for parent review and signature (Box 9)

Upon review of the supporting documentation the user may find that additional documentation is required. In this case, the user will save the record to a pending queue. If the documentation is in order, the user will print out a verification form for the parents to review and sign. The parent verification form can be printed more than once if errors are discovered by the parents that need to be corrected.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
B241	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues		
B242	**Verification Form**	The system allows the user to print out a home birth verification form for the parents to review and sign.	*E - Exact*	
B243	**Verification Form Optional**	The user does not have to print out a Verification Form.	*E - Exact*	

Description: OK? (Box 10); If yes, scan Verification Form into the system (Box 11); Submit record electronically (Box 12). Register record and assign SFN and LFN. Record leaves queue (Box 13). Go to Registration Flow.

If the record is correct, the State will review after they have scanned and attached all of the documentations. The State reviews the record prior to registration. If the record is OK, the state and local file numbers are assigned and the record leaves the queue. The Registration Flow takes over.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
B244	**State File Number**	Please see the General Requirements, section O - State File Numbers and Registration, for rules regarding the SFN.		
B245	**Queues**	Please see the General Requirements, section O - Queues for rules regarding the pending queues		
B246	**Query and Rejection Cycle**	Please see the Query and Rejection Cycle Flow for rules on how to reject a record.		
B247	**Edit Record**	The user may edit the record as many times a necessary until the information is correct. Whenever there are soft edits, the system provides the option to specify "mother refused" or "unknown."	*E - Exact*	
B248	**Scan Signed Form**	The system provides the ability for the user to scan and attach the signed or edited verification form to the record.	*E - Exact*	
B249	**Verify Legal Information**	If auto-registration is turned off, the system prompts user to confirm verification of demographic fields on birth record prior to registration. This functionality can be turned on or off by an authorized user.	*W - Workflow or System Configuration Required*	Add Allow Auto registration flag on the userlocation table. State users can set this flag to N to prevent auto registration from that location.
B250	**Confirmed Action to Register Record**	The system asks the user to confirm the action being taken to register the record.	*W - Workflow or System Configuration Required*	Add an alert
B251	**Verify Legal Information**	System requires the State to review and verify legal information prior to registering.	*E - Exact*	
B252	**Option to Turn Off Auto Registration**	The State has the capability to turn on or off the auto registration function.	*W - Workflow or System Configuration Required*	Add Allow Auto registration flag on the userlocation table. State users can set this flag to N to prevent auto registration
B253	**Record Leaves Queue**	Once the record is registered, it automatically leaves the pending queue and is ready for issuance.	*E - Exact*	
B254	**Fulfill Request From Record**	If there is a pending request for certified copies, the user may fulfill that request immediately.	*E - Exact*	
B255	**Move Request to Ready-to-Fulfill Queue**	If there is a pending request for certified copies, the system will automatically move the request from the pending queue to the ready-to-fulfill queue at the location designated in the request.	*E - Exact*	

Description: Can verification form be fixed? (Box 14); If no, the record is saved in a pending queue (Box 15); Print out appropriate letters and/or documentation from EVRS. Bypass this step if needed (Box 16).

If there are errors in the record that cannot be immediately fixed, the record is saved in a pending queue. The user may print out one or more letters or documents from the system indicating what is required to complete the record.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
B256	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
B257	**Letter Rules**	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
B258	**Pending Home Birth Queue**	The system provides a queue for pending (in process) home birth records.	*E - Exact*	
B259	**Not a Mandatory Step**	The system will let the user bypass the letter generating step if desired.	*E - Exact*	

Description: Receive requested information (Box 17); Access the pending queue (Box 18); Finish record (Box 19).

The applicant returns the needed documentation to the State. The user logs into the system, accesses the record through the queue, completes the record, and scans the documentation.

	Business Rule Name	Business Rule Description	Vendor Response	Comments
B260	User Log In	Please see the General Requirements section B -User Authentication for rules related to user log in.		
B261	User Profiles	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
B262	Record Ownership and Access	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
B263	Search Rules	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
B264	Queues Rules	Please see the General Requirements section N - Queues for rules of queues		
B265	Pending Home Birth Queue	The system provides a queue for records that are pending.	E - Exact	

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

BUSINESS PROCESS: PROCESSING A PATERNITY AT A FACILITY

In WV there are only two-way paternities, which means that only two parents may be listed on a birth certificate at one time.

If mother is unmarried and wants to list the biological father on the birth certificate, they must both sign a Paternity Affidavit Form (PAF). The unmarried mother also has the option to not list a father on the birth certificate.

If mother is married, her spouse will be automatically listed as the father unless mother specifically refuses to list a father. However, if mother is married but her spouse is not the biological father, the process can go one of two ways: the spouse can sign a Non-Paternity Affidavit (Non-PAF), while mother and the biological father both sign a PAF. This process is referred to as PAF/Non-PAF; Or, if the mother and biological father and/ or spouse cannot come to an agreement to sign a PAF/Non-PAF, the hospital selects an indicator within the record that the family intends to file a PAF. This action places the record in a Paternity Pending Queue for review and approval at the State prior to registration.

Description: Birth Record Is started (Box 1); Mother married? (Box 2); If no, Want to list father? (Box 3); If no, No father listed on BC (Box 4); Continue with Birth Flow

Once a birth record is started, the user will have the option of creating a paternity. If the mother is unmarried, the user has the option to bypass paternity screens.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
PA1	**Hospital, State or Child Support Completes**	Paternities can be completed at the hospital, by Child Support Enforcement Office, or by the State.	E - Exact Match	Access from any user depending on security.
PA2	**Paternity Screens**	The system allows access to the paternity screens from within the birth record. Format of screens are State defined.	E - Exact Match	
PA3	**Paternity Fields**	The system provides fields for the user to enter the paternity information into the birth record. Fields may include, but are not limited to, father's name, address, SSN, and other State defined data.	E - Exact Match	
PA4	**Father Not Required When Mother Not Married**	When the mother indicates she is not married and there is no paternity, the system allows the father's information to be blank.	E - Exact Match	Standard edits for most states
PA5	**Flexibility in Response "Married?"**	The system provides a field to indicate if the mother was married within the last 300 days.	W - Workflow or System Configuration	A simple edit can be added.

PA6	Update Status to "No Paternity"	If the mother is single and chooses not to complete the Paternity Affidavit Form, the system updates the record status to "No Paternity".	E - Exact Match	
PA7	Inactivate Father's Fields	If the mother is not married and chooses not to complete a paternity, the system grays out the father's fields.	E - Exact Match	Fields are easily protected depending on other field values.
PA8	Register Upon Submission	If the mother is single and chooses not to complete a paternity, or the mother is married but refuses to have the spouse on the birth record, the record is registered upon submission to the State.	W - Workflow or System Configuration Required	
PA9	Reason for No Paternity	In the case where a mother does not request a paternity, the system provides a drop down to select a State defined reason for refusal, including "other."	E - Exact Match	The system can provide a drop down with the reason for refusal.
PA10	Reason Not Required	The "Reason for No Paternity" field is optional.	W - Workflow or System Configuration	Any field can be optional depending on other fields.
PA11	Comment for No Paternity	In the case of "other" being selected as the mother's reason for not requesting a paternity, the system requires the user to enter a free-form comment.	E - Exact Match	A comment field can be provided and the user will have to enter into the comment if Other.

Description: If yes to Want to list father, PAF/Non-PAF? (Box 5); If yes, Correct? (Box 6); If yes, Paternity is notarized (Box 7); Scan and attach completed form to record (Box 8); Continue with Birth Flow; If no to PAF/Non-PAF, Intention to file indicator (Box 11)

If mother is unmarried, a Paternity Affidavit Form is made available to add the father's information. The Paternity Affidavit Form is auto populated with the demographic information from the record and a verification copy may be printed for the parents to complete and sign. Hospital users may also review and verify the information with the parents electronically from a tablet. Once the facility determines that information is correct, the parents sign the PAF in front of a notary and the PAF is scanned and attached to the birth record. If using e-notary, the PAF is notarized in the system.

For hospitals without a scanner, once the record is submitted to the State, it is flagged and placed in a Paternity Pending queue so that the State knows that a Paternity Affidavit form is being mailed to the State. The flag prevents issuance of a certified copy of the birth record to prevent potentially incorrect information from being printed. The process flow then returns to the "Birth Flow."

If the parents are unable to complete a PAF at the time of birth, the system user can indicate in the record that the parents have intentions of filing an PAF at a later time.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
PA12	E-Notary	Please see General Requirements T - Electronic signature and E-Notary for rules related to e-notary and electronic signature.		
PA13	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
PA14	Option to Request Paternity Affidavit Form	If the mother answers that she was not married within the last 300 days, the system provides the option for the mother to request to establish paternity.	W - Workflow or System Configuration	A paternity form can be printed. It currently does not ask the 300 day question or use that in the process.
PA15	Language Versions Configurable	The PAF can be configured by the State to add a version of the PAF in another language if needed in the future.	W - Workflow or System Configuration	All states paternity form are slightly different. This will be configured to the states requirements.
PA16	Affidavit Prints Out of System	The Paternity Affidavit Form may be printed from the system with instructions for the parents.	E - Exact Match	
PA17	Generate Paternity Tracking Number	The system generated birth record number is also the paternity tracking number.	E - Exact Match	
PA18	Paternity Tracking Number Not Displayed	The paternity tracking number does not display on the screen.	E - Exact Match	Some states display it and some do not. We have done it both ways.
PA19	Auto Populate Affidavit	The system auto populates the mother, father and child information from the birth record into the Paternity Affidavit Form.	E - Exact Match	Standard fill in of information into a form to be printed.
PA20	Parents Sign Paper Form	If e-notary is not being used, a paper copy of the Paternity Affidavit Form is printed for signature and notarization.	M - Modify	
PA21	Print for Verification	The PAF may be printed for verification purposes prior to signing.	W - Workflow or System Configuration	There are many ways to process the paternity with flags or signatures.
PA22	Parent's Signature	When parents sign a paper Paternity Affidavit Form, the system provides the user with a way to indicate receipt of the parent's signatures in the system.	W - Workflow or System Configuration	A number of flags are used to capture any information.
PA23	System Tracks Date and Time Signed	The system provides fields to capture the date and time the PAF was signed.	W - Workflow or System Configuration	Time is not currently captured.
PA24	Print Paternity Affidavit Form Multiple Times	The PAF may be printed multiple times.	E - Exact Match	

PA25	Paternity Tracking Number Prints on Paternity Affidavit Forms	The system tracks the number of times the PAF is printed.	E - Exact Match	Document tracking knows how many times it has been printed.
PA26	Parents Can Change Mind	The mother or father may change their mind about completing the paternity up to the point when the paternity document is signed and notarized.	W - Workflow or System Configuration	This is a business decision that can be recorded in the system if needed.
PA27	Void Paternity Affidavit Form	If the mother and father decide not to finalize a Paternity Affidavit Form, the Paternity Affidavit Form is voided.	W - Workflow or System Configuration	Flags can be used to indicate if it is voided or not.
PA28	Father's Information Removed	If the Paternity Affidavit Form is voided, the system has the ability to remove and lock all father fields.	E - Exact Match	The system can lock fields depending on various flags or statuses.
PA29	Do Not Allow Paternity at Hospital if Record is Registered	The system does not allow a hospital to process a paternity after the record has been submitted for registration at the State.	E - Exact Match	This is a standard practice we have implemented for different states
PA30	Date and Time Signed	If the date and time that the PAF is signed is after the birth record has been registered, a message will pop up indicating the record has been registered and the hospital can no longer file the PAF.	W - Workflow or System Configuration Required	
PA31	Print PAF at Hospital for Parents	If the parents wish to file a PAF after the birth record has been registered, the hospital may print a PAF for the parents to sign and notarize, and submit to the State for filing.	E - Exact Match	PAFs can be processed after the record has been registered.
PA32	Intention to File PAF Flag	If mother and biological father intend to complete a PAF but do not file one at the time of birth, the system has a checkbox to indicate parents' intention to file a PAF and flags the record as pending PAF	E - Exact Match	
PA33	Allow Mother to Complete Electronically	The system allows the mother to complete her portion of the PAF electronically even if the father is not present at the time of birth.	W - Workflow or System Configuration	Various methods are available to achieve this, including a tablet option.
PA34	Capture Father's Information	If the "Intention to File PAF" checkbox is selected, the system provides the user with the option of entering father's information. Data is retained in the system but does not appear on the birth certificate until the notarized PAF is received at the State and attached to the birth record.	W - Workflow or System Configuration Required	This can be accomplished with configuration.
PA35	Paternity Affidavit Received within 30 Days of Birth	PAFs must be filed within 30 days after DOB or the system removes father's information and the record is filed with no father listed on the record.	W - Workflow or System Configuration	We can accomplish this business rule.
PA36	Flag Removed	Once the father's information is removed from the record, the pending PAF flag is removed.	W - Workflow or System Configuration	
PA37	Move to Registration Queue	Once the pending PAF flag is removed, the record is moved from the pending PAF queue to the registration queue.	W - Workflow or System Configuration	
PA38	Comment for No PAF/Non-PAF Received	If a record moves from the pending PAF queue to the registration queue, the system generates a comment to indicate that a PAF and/or Non-PAF was not received at the State.	W - Workflow or System Configuration Required	
PA39	System Sends Letter to Mother	If the father is removed from record, the system sends a letter to the mother explaining why the PAF was voided and next steps.	W - Workflow or System Configuration	
PA40	System Sends Letter to Father	If the father is removed from record, the system sends a letter to the father explaining why the PAF was voided and next steps.	W - Workflow or System Configuration	
PA41	Supporting Paternity Documentation	The system allows the user to select from a State defined drop down list to indicate what supporting documents were presented.	W - Workflow or System Configuration	
PA42	Scan Notarized Paper PAF	The system prompts the user to scan and attach the notarized Paternity Affidavit Form when it is in paper format.	W - Workflow or System Configuration	
PA43	Scan Supporting Documentation	The system allows the user to scan and attach any supporting documentation.	E - Exact Match	
PA44	No Scanner	For hospitals without a scanner, the record is flagged for a pending queue awaiting the arrival of the paper copy of the PAF at the State.	W - Workflow or System Configuration	
PA45	"Paternity Complete" Status Locks Fields	An indicator is set in the system when the paternity status is complete to lock all the paternity fields.	E - Exact Match	We can lock all necessary fields depending on a flag.
PA46	Paternity Signed by Parents	When there is a paternity in process, the system does not allow the birth record to be submitted to State until the record indicates that the parents have signed and notarized the Paternity Affidavit Form.	W - Workflow or System Configuration Required	
PA47	Request Paternity Form at State	Paternities that are not processed at the birthing facility prior to registration must be requested from the State.	W - Workflow or System Configuration	

PA48	Display But Do Not Print Comment Fields	The system displays the comments within the record but does not print the comments on the certificate or form.	E - Exact Match	Printing or not printing comments is easy for our documents.
PA49	Legal Guardian Signature	If either of the parents are under 18 years old, the signature of the parent's legal guardian is required on PAF and Non-PAF.	W - Workflow or System Configuration	
PA50	Additional Fields for Under 17 Years	The system populates additional State defined fields if the mother or father is 18 years old or younger and is an unemancipated minor.	W - Workflow or System Configuration	
Additional Rules for E-Notary (The State Cannot Use E-Notary at Go Live; But Wants to Build in the Function for Future Use.)				
PA51	Hide Function	The system provides the ability to deactivate the function for e-notary.	E - Exact Match	The functions available are determined by the function group the user is in. The function can be removed.
PA52	Paper Flow	When e-notary is not used, the system automatically reverts to the paper flow with the corresponding edits.	E - Exact Match	
PA53	No Scan for E-Notary	The system does not prompt the user to scan and attach the notarized Paternity Affidavit Form when e-notary was used.	E - Exact Match	
PA54	Notarize Online	The user who is also a notary can sign the form, attach the seal and other evidence required for notarization, and attach the evidence to the paternity.	W - Workflow or System Configuration	This is possible but depends on the notary interface.
PA55	E-Notary Completes Paternity	When e-notary is used, the act of completing the notarization also completes the process of filing the Paternity Affidavit Form.	W - Workflow or System Configuration	
PA56	Image of E-Notarized Form Attached	The image of the notarized Paternity Affidavit Form is attached to the record.	W - Workflow or System Configuration	
PA57	Schedule Notarizations	The system provides the capability for an authorized user to schedule notarizations in the system by entering the date, time and person who will notarize the birth record.	W - Workflow or System Configuration	
PA58	Display Notary Schedule	The system provides the capability to display the schedule of notarizations by notary, date and time.	W - Workflow or System Configuration	
PA59	Print Notary Schedule	The system provides the capability to print the schedule of notarizations by notary, date and time.	W - Workflow or System Configuration	

Description: If PAF/Non-PAF is not correct, Can fix?(Box 9); If yes, Fix (Box 10); If no, Intention to file indicator (Box 11); Continue with Birth Flow

If there are errors on the Paternity Affidavit Form, the user accesses the record in the system and corrects the information. The user may print a new verification form for the parents to review or review with them on a tablet.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
PA60	Query and Rejection Cycle	Please see the Query and Rejection Cycle for all rules related to rejecting or correcting a record in the system.		

Description: If mother is married, Is the spouse the Father? (Box 12); If yes, Enter spouse as father (Box 14); If no, Spouse wants to be listed?(Box 13); If yes, Enter spouse (Box 14) and Continue with Birth Flow; If no to Spouse wants to be listed, Want to list father? (Box 3); If no, No father listed on BC (Box 4); If yes, PAF/Non-PAF? (Box 5); If no, Intention to file indicator (Box)

If the mother is married, the husband is indicated on the birth record as the father unless the mother refuses. If she refuses, a selection of "Married Refused Husband Info" is made on the record.

If mother is married and the spouse is not the father, but the biological father wishes to be listed, a Paternity Affidavit Form is made available to add the father's information. An Affidavit of Non-Paternity is also made available for the mother and spouse to sign.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
PA61	Mother Refuses	The system provides a field to indicate if the mother is married but refuses to have the spouse on the birth record.	E - Exact Match	We have done this for various states.
PA62	Disallow Paternity Affidavit	The system does not allow a Paternity Affidavit Form if the mother is married or divorced/widowed within the last 300 days (between conception and birth) unless a Non-Paternity Affidavit Form is submitted by mother's current husband, or the user had indicated that a Non-PAF will be filed.	W - Workflow or System Configuration Required	300 day mechanism can be added to the edits.
PA63	Non-Paternity Affidavit	The system allows access to the Non-Paternity Affidavit screen from within the birth record. Fields may include but are not limited to spouse's full name, address, SSN, and other State defined data.	W - Workflow or System Configuration Required	The paternity fields are included in the birth record and are not a separate event.
PA64	Intention for Non-PAF	If the "Intention to File PAF" checkbox is selected, an additional "Intention to File Non-PAF" checkbox is opened to indicate if the mother and her spouse intend to complete a Non-PAF. If the checkbox is selected, it flags the record as pending Non-PAF and allows the mother to complete her portion of the document electronically.	W - Workflow or System Configuration Required	

PA65	Capture Spouse's Information	If the "Intention to File Non-PAF" checkbox is selected, the system provides the user with the option of entering spouse's information. Data is retained in the system but does not appear on the birth certificate until the notarized Non-PAF is received at the State and attached to the birth record.	W - Workflow or System Configuration Required	
PA66	Reminder Letter	If either "Intention to file PAF" or "Intention to file Non-PAF" checkbox is selected, the system sends a letter to the mother reminding her to submit a notarized PAF or Non-PAF. Timeline for sending the letter is State-defined.	W - Workflow or System Configuration Required	
PA67	Non-Paternity Affidavit Received within 30 Days of Birth	Non-PAFs must be filed within 30 days after DOB or the record is filed with no father information listed on the record.	W - Workflow or System Configuration	

END OF PROCESSING A PATERNITY AT A FACILITY

BUSINESS PROCESS: PROCESSING A PATERNITY AT THE STATE

If a PAF or Non-PAF was not filed at the time of birth, the parents may file a paternity at the State. They have the option of mailing in the notarized forms or filing them in person at the State office. Non-PAFs must be filed in conjunction with a PAF within one year of DOB; it may not be used to rescind paternity after a birth certificate has been registered with a father's name on the record.

Rescission of paternity are by court order only and must be filed at the State.

Description: Vital Registration receives Paternity Form (Box 1); Another father listed on BC? (Box 2); If no, Scan and attach PAF to record (Box 3); Update father's information (Box 6); Update child's surname (if requested)(Box 7); Go to Issuance Flow.

Once a birth record is started, the user will have the option of creating a paternity. If the mother is unmarried, the user has the option to bypass paternity screens.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
PA68	**State Completes**	Please see the Processing a Paternity at a Facility rules above, for all rules relating to Starting a Paternity at the State.		
PA69	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
PA70	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
PA71	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
PA72	**Search Rules**	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
PA73	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
PA74	**Birth Amendments**	Please see the Amendments rules, Additional Rules for Birth Amendments section, for all rules related to birth amendments.		
PA75	Pending PAF Queue	The system provides a queue for the State to view all records that are flagged as "pending PAF"	E - Exact Match	Pending queues are used by various states.
PA76	Paper Copy Received	The system has a checkbox for indicating that the original, paper copy of the PAF or Non/PAF has been received at the State.	E - Exact Match	
PA77	Remove Flag if Paper Copy Received	If "paper copy received" checkbox is selected, the system removes the "pending PAF" flag from the record.	E - Exact Match	
PA78	Scan Supporting Documentation at State	The system allows the State user to scan and attach any supporting documentation.	E - Exact Match	
PA79	Prevent Printing	The flag for pending PAF prevents printing of certified copies of the birth record.	W - Workflow or System Configuration	This depends on the various setups of the Printing Documents.
PA80	Supervisory Override for Pending PAF	The system allows an authorized user to override a flag for pending PAF.	W - Workflow or System Configuration	Override capabilities are available for various flags and reasons.

Description: If yes to Another father listed on BC, Court order to remove dad? (Box 4); If no, Reject request; If yes, Scan and attach court order to record (Box 5); Update father's information (Box 6); Update child's surname (if requested)(Box 7); Go to Issuance Flow.

Paternities can be rescinded by court order only. Once rescinded, the birth record information reverts back to the original information that was present prior to the filing of a paternity.

	Business Rule Name	Business Rule Description	Vendor Response	Comments
PA81	Query and Rejection Cycle	Please see the Query and Rejection Cycle for all rules related to rejecting or correcting a record in the system.		
PA82	Rescission of Paternity Check Box	The system provides a check box for the user to mark a record with a paternity as "Rescission of Paternity."	W - Workflow or System Configuration	
PA83	Prevent Printing for Rescission of Paternity	The flag for "Rescission of Paternity" prevents printing of certified copies of the birth record.	W - Workflow or System Configuration	
PA84	Scan Court Order for Rescission of Paternity	If the record has been marked "Rescission of Paternity," the system requires the user to scan and attach a court order to the birth record	W - Workflow or System Configuration	
PA85	Enter Court Order Number	The system provides a field for the user to enter the court order number in the record.	W - Workflow or System Configuration	
PA86	New Paternity After Rescission	A new paternity may only be processed once a rescission is processed.	W - Workflow or System Configuration	
PA87	Do Not Mark "Amended"	For court-ordered paternity rescissions, the system does not mark the new certificate of birth as "amended."	W - Workflow or System Configuration	

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

Business Process: Fetal Death (350 grams or +20 Weeks of Gestation)

A birth of 350 grams or more (or if weight is unknown, then after 20 weeks of gestation based upon date of last menses) with no sign of life when entirely outside the mother's body is considered a fetal death (stillbirth). The Fetal Death module is used to record the event, and an Authorization for Disposition for Fetal Remains is required. Methods of disposition may include but are not limited to: funeral home, hospital, parents, and OCME. If cremation is requested, the request will be indicated on the Authorization for Disposition and a funeral home designation and cremation permit are also required. The funeral director will be responsible for obtaining approval from the Medical Examiner for the cremation permit.

For facility cases where the OCME is not involved, the facility user completes the medical and demographic portion. The medical certifier may certify immediately, or the completed record may be queued for certification at a later time. The hospital selects the method of disposition, and the parents must sign the Authorization for Disposition for Fetal Remains. A Paternity Affidavit Form may be executed, but edits around Paternity for fetal deaths are relaxed. Once the record is certified, the facility submits it to the State for registration. The facility may print an Angel Certificate at parents' request.

For fetal deaths occurring outside of a facility, or in facility cases where there is concern over the cause of death, a medical examiner is contacted. The medical examiner decides if s/he will investigate the case and, if so, s/he completes the record in the system and submits it electronically to the State. If no investigation is required, the medical examiner rejects the record back to the facility.

For fetal deaths occurring at non-birthing facilities that are not OCME cases, the record will be reported via a paper process using the fetal death worksheets.

Fetuses that are delivered at any gestational age and does show life when entirely outside the mother before it subsequently dies, is considered a live birth and requires a birth record and a death record.

Please note: All rules that relate to starting a birth or a death record, record edits, cause of death, electronic signatures, queues, and registration and issuance apply to fetal death records and are not repeated here. The business rules in this section are specific to fetal death.

NAPHSIS Use Case Models:

- EBRS UC 003 v. 2.1 - Create Fetal Death Record
- EBRS UC 008 v. 1.9 - Certify COD on Fetal Death Record
- EBRS UC 009 v. 1.8 - Decertify COD on Fetal Death Record

Description: Baby is stillborn (Box 1); At Hospital? (Box 2); If yes, ME required? (Box 3); If no, log into EVRS (Box 8); Start record and print Authorization for Disposition, parent signs (Box 9); Disposition of body (Box 10); Complete record of fetal death and add PAF if needed (Box 11); Print Angel Certificate at facility (Box 12)

After a stillbirth in a hospital/facility, the user logs on and enters the minimal information to start a fetal death record. This includes designating the Funeral Home, if cremation or funeral is requested by parents. All fetal deaths require an Authorization for Disposition for Fetal Remains. Paternities may be needed for fetal deaths.

Please note: All rules for Authorization for Disposition found in the Death Business Rules apply to this section and are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*

FD1	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
FD2	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
FD3	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
FD4	**Queues**	Please see General Requirements, section N - Queues, for all business rules related to Queues.		
FD5	**Data Edits**	Please see the General Requirements section L - Data Editing for rules related to editing data.		
FD6	**Birth Rules**	The rules associated with Start a Birth record apply to fetal death.		
FD7	**Paternity**	The rules associated with paternity apply to fetal death.		
FD8	**Authorization for Disposition**	Please see the Death Business Rules, for all rules related to Authorization for Disposition within the system. All rules apply to this section.		
FD9	**Cremation Permit**	Please see the Death Business Rules, for all rules related to Cremation Permit within the system. All rules apply to this section.		
FD10	**Bereavement Queue**	The system provides a queue for records at the facility that can be accessed by bereavement specialists.	***W - Workflow or System Configuration Required***	
FD11	**Fetal Death Queue**	The system provides a queue for records submitted electronically for fetal deaths.	***W - Workflow or System Configuration Required***	
FD12	**Queue Record for State**	The system provides a queue for Fetal Death records with State defined soft edits.	***W - Workflow or System Configuration Required***	
FD13	**Start Record**	A fetal death record can be started at a hospital/medical facility.	***E - Exact Match***	Data entry can take place in various locations.
FD14	**State Defined Minimum Information to Start Case**	The minimum information used to start a case is State defined.	***E - Exact Match***	
FD15	**Default Data to Start Case**	The minimum data set to start a record includes: baby's date of delivery, gestational age, gestational weight, mother's medical record number, mother's last name, mother's first name, mother's date of birth, plurality and birth order.	***E - Exact Match***	
FD16	**Include Baby's Medical Record Number**	The system includes a Medical Record Number for the baby separate from the Medical Record Number for the mother.	***E - Exact Match***	
FD17	**Name May be Left Blank**	The stillborn child's first, middle and last names may be left blank.	***E - Exact Match***	We have various states leaving the names blank.
FD18	**Mother's Name**	The system captures the mother's first, middle and last name. First and last name are required.	***W - Workflow or System Configuration Required***	
FD19	**Search on Birth, Death and Fetal Death**	The system searches birth, death and fetal death records to determine potential matches. Search is limited to the facility login location of the user.	***W - Workflow or System Configuration Required***	During entry, various events can be searched for duplicates.
FD20	**Confirm That Event is Fetal Death**	Upon selecting a fetal death event, the system displays a message informing the user of the definitions of a live birth versus a fetal death and asks the user to confirm that they wish to create a fetal death record.	***W - Workflow or System Configuration Required***	Special message on alert in Fetal Death for new record.
FD21	**Health Exchange Checked**	The information entered is sent to the Health Exchange to look for a match.	***M - Modify***	
FD22	**Parent Worksheet**	The system provides a fetal death parent worksheet.	***E - Exact Match***	
FD23	**Facility Worksheet**	The system provides a fetal death worksheet for the institution to capture the medical information.	***E - Exact Match***	
FD24	**Parent and Medical Worksheets**	No parental signatures are required for the parent or facility worksheets.	***W - Workflow or System Configuration Required***	
FD25	**Worksheets Print from System**	Both the parent and the facility worksheets may be printed from the system.	***E - Exact Match***	
FD26	**Standard Worksheets Available in Multiple Languages**	The system provides the parent worksheet in English and Spanish.	***E - Exact Match***	
FD27	**Record Transfer**	The system provides ability to transfer a record from one institution to another.	***W - Workflow or System Configuration Required***	

FD28	Funeral Home Info	The system can allow the user to select a funeral home from a list or to enter the information directly.	*E - Exact Match*	
FD29	Fetal Death Requires Authorization for Disposition	An Authorization for Disposition is required for a fetal death.	*W - Workflow or System Configuration Required*	Simple field and edit for this authorization.
FD30	Authorization for Disposition Requires Signature of Parent(s)	Parental signature(s) are required on the Authorization for Disposition.	*W - Workflow or System Configuration Required*	
FD31	Options for Final Disposition	Options for final disposition on the Authorization for Disposition are State defined and may include, but are not limited to, funeral home, hospital, parents, and OCME.	*W - Workflow or System Configuration Required*	
FD32	Cremation Indicator	The system allows the user to indicate on the Authorization for Disposition whether cremation is requested.	*W - Workflow or System Configuration Required*	
FD33	Funeral Home Requests Cremation Permit	The system allows funeral home users to request authorization from the medical examiner for cremation.	*W - Workflow or System Configuration Required*	
FD34	Distinct Numbering System for Fetal Death Authorization for Dispositions	The numbering system for fetal death Authorization for Dispositions is distinct from the numbering system for death Authorization for Dispositions and is defined by the State.	*W - Workflow or System Configuration Required*	
FD35	Fetal Death Abuse or Neglect	The system provides the user a field to indicate if a fetal death is suspected to be a case of abuse or neglect.	*W - Workflow or System Configuration Required*	
FD36	Non-birthing Facility	Non-birthing facilities have access to the Fetal Death module.	*E - Exact Match*	
FD37	Fetal Death Worksheets Starts Records For Home Fetal Deaths	attendance, the Fetal Death worksheet will be used to start the fetal death record at the State.	*E - Exact Match*	Worksheets or direct entry is always available.
FD38	Home Fetal Death Record	The system allows the State user to indicate that the fetal death record was the result of a home fetal death.	*W - Workflow or System Configuration Required*	
FD39	Scan and Attach Fetal Death Worksheet	If the State user selects the home fetal death record type, the system prompts the State user to attach the scanned fetal death worksheet to the fetal death record.	*W - Workflow or System Configuration Required*	

Description: If ME is required, contact ME (Box 4); Enter minimal information (Box 5). Investigate case? (Box 6). If yes, complete electronic record through EVRS (Box 7).

If the hospital or facility believes the case to be one of neglect or abuse, the user calls the medical examiner. If the medical examiner elects to take the case, the process follows the Medical Examiner Flow for a death event. Otherwise, the record is rejected back to the hospital/facility where the medical and demographic information is entered and certified.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
FD40	Medical Examiner Called	If the hospital or facility suspects neglect or abuse, they may call the medical examiner before starting the case.	*E - Exact Match*	A business rule for this can be created.
FD41	Designate Medical Examiner	The system includes the ability to designate the case as a medical examiner case.	*W - Workflow or System Configuration Required*	A field for this can be added.
FD42	Refer to Medical Examiner	If the record includes an indication of abuse or neglect, a pop up message is displayed, indicating that the medical examiner needs to review the case.	*W - Workflow or System Configuration Required*	Configuration is required.
FD43	Authorization for Disposition Needed for Medical Examiner Referrals	An Authorization for Disposition is still required for records that are referred to the medical examiner.	*W - Workflow or System Configuration Required*	
FD44	Medical Examiner Edits Based on Keywords	The system locks a record for the medical examiner when State defined suspicious causes are entered or selected as cause of death.	*W - Workflow or System Configuration Required*	An edited field on the flag is required.
FD45	Send Message to Medical Examiner	If the system locks a record when the State identifies suspicious causes of death, and a message is automatically sent to the medical examiner for review.	*W - Workflow or System Configuration Required*	
FD46	Enter Reason for Referral	The system includes State defined fields for the user to indicate why the case is being referred to the medical examiner.	*E - Exact Match*	
FD47	Queue Records for Medical Examiner	The system includes a queue for records referred to the medical examiner.	*W - Workflow or System Configuration Required*	
FD48	Medical Examiner May Complete Record	The system allows a medical examiner to start and complete the full record.	*E - Exact Match*	Various users can start and complete a record.
FD49	COD Can be Pending	The fetal death record can be registered with a pending cause of death.	*W - Workflow or System Configuration Required*	
FD50	Facility Files Amendment for Pending COD	When the cause of death is not entered prior to registration of the fetal death, the hospital files an amendment to add the cause of death information.	*E - Exact Match*	
FD51	Suspect Cases Referred to Medical Examiner	The system includes the option to notify the medical examiner to review the case.	*W - Workflow or System Configuration Required*	Accomplished with a field edit, message, or email.
FD52	Medical Examiner Accepts Case	If the Medical Examiner elects to take the case, the facility indicates in the record that this is a medical examiner case.	*W - Workflow or System Configuration Required*	

Description: Scan worksheet and attach to record (Box 13); Queue record for State (Box 14); Exceptions? (Box 15); If yes, review exceptions (Box 16); OK? (Box 17); If no, reject/query record (Box 18); If no exceptions, register record (Box 19); Extracts for Vital Statistics (Box 20)

Once the record is complete and the medical certifier has certified, the record is submitted and registered by the system. Certain records with specific soft edits may be queued for post-registration review by the State. Birth and death registration rules apply to the registration of a fetal death record. After the record is registered, it is ready for statistical extraction.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
FD53	**State File Number**	Please see the General Requirements, section O - State File Numbers and Registration, for rules regarding the SFN.		
FD54	**Registration**	Rules associated Registration also apply to Fetal Death.		
FD55	**Issuance**	The Issuance module is used to produce the Certificate of Fetal Death.		
FD56	**Death Rules**	Rules associated with Death also apply to Fetal Death.		
FD57	**Electronic Signature**	Please see the General Requirements section S - Electronic Signature rules related to signing fetal death records.		
FD58	**Fetal Death Screens**	Fetal Death event has its own set of screens that are distinct from birth or death.	***E - Exact Match***	
FD59	**Screens Match Fetal Death Worksheets**	Screens for Fetal Death match the fetal death worksheets.	***E - Exact Match***	Screens will match the fetal death worksheets.
FD60	**Edits Specific**	Edits are specific to fetal death.	***E - Exact Match***	
FD61	**Fetal Death Information Collected**	The system collects a set of State defined information on fetal death. Examples of information collected may include name of attendant, date of fetal death and disposition of the fetal remains.	***E - Exact Match***	The state determines the information.
FD62	**Certificate of Birth Resulting in Stillbirth Indicator Controls Printing**	The system checks the indicator that specifies if the parents want a Certificate of Birth Resulting in Stillbirth to determine whether the certificate prints at the State after registration.	***W - Workflow or System Configuration Required***	Normally this is an option but usually not on the Stillbirth record.
FD63	**Reporting Timeframe**	Reports of fetal death are completed within the statutory five (5) days after the fetus was delivered or else goes to the late queue.	***W - Workflow or System Configuration Required***	Late Queue is determined by Complete date and Date delivered.
FD64	**Verification Form Marked as "Fetal Death"**	Any verification forms of the fetal death report are clearly marked "Fetal Death."	***E - Exact Match***	
FD65	**Print Verification Form for Parent Review**	The system allows the verification form to be printed for the parents' review.	***E - Exact Match***	
FD66	**Print Certificate of Birth Resulting in Stillbirth**	After the State defined fields for a fetal death are completed, the system allows a facility user to print a Certificate of Birth Resulting in Stillbirth for the parents from the system.	***E - Exact Match***	Handled by the Printing Document Definitions Utility.
FD67	**Certificate of Birth Resulting in Stillbirth**	Fields for the Certificate of Birth Resulting in Stillbirth are State defined and may be an abstract of the report of fetal death.	***E - Exact Match***	We can match the output that you specify.
FD68	**Cause of Fetal Death Fields - Part A**	The fetal death record provides a section to capture initiating cause of death (Part A). Initiating cause of death selections are state defined. Only one selection can be made for Part A.	***E - Exact Match***	Standard Cause of death mechanisms.
FD69	**Cause of Fetal Death Fields - Part B**	The fetal death record provides a section to capture any other significant causes and conditions (Part B). Other significant causes and conditions are state defined and multiple selections are allowed for Part B.	***E - Exact Match***	Standard Other conditions determined by dropdown.
FD70	**Medical Certifier**	A physician or medical examiner may sign the record. Currently, there is no medical certifier for fetal deaths.	***W - Workflow or System Configuration Required***	
FD71	**Certify Outside Facility**	Medical certifiers can certify the record from their local office.	***E - Exact Match***	Entry and certification can happen from anywhere.
	Additional rules for fetal death under 350 grams, of if weight unknown under 20 weeks gestation			
	Please note: All rules for Fetal Death apply to this section and are not repeated here.			
FD72	**Under 350 grams/ 20 Weeks Flag**	The system flags fetal death records for fetuses that weight less than 350 grams, or if weight is unknown under 20 weeks of gestation.	***W - Workflow or System Configuration Required***	Field and edit needed for alert/edit/flag.
FD73	**Under 35o grams/ 20 Weeks Not Sent to NCHS**	If the under 350 grams/ 20 weeks flag is set, the system does not send the record to NCHS.	***W - Workflow or System Configuration Required***	
FD74	**Relaxed Edits Under 350 grams/ 20 weeks**	When entering a fetal death under 350 grams/ less than 20 weeks gestation, the system has relaxed edits for entering a fetal death record.	***E - Exact Match***	Relaxing edits depending on a field is standard practice in our system.
FD75	**State Defined Edits Under 350 Grams**	The edits for a fetal death under 350 grams/ less than 20 weeks gestation are State defined.	***E - Exact Match***	Edits can be created for the state defined criteria.

FD76	**Certificate of Birth Resulting in Still Birth**	The system provides the ability for the State to print a Certificate of Birth Resulting in Stillbirth for all fetal deaths, from the fetal death record.	***E - Exact Match***	Always have the ability to print from an event record.

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

OVERVIEW OF THE BUSINESS PROCESSES FOR ENTERING AND PROCESSING DEATH RECORDS

NAPHSIS use case models were used as reference materials for the redesign of the death processes.
Specific NAPHSIS use case models for starting a death event include:

EDRS UC 002 v. 2.7 - Create a Case - FH
EDRS UC 002 v. 2.7 - Create a Case - MC
EDRS UC 008 v. 2.3 - Request for Medical Certification
EDRS UC 009 v. 2.6 - Sign Personal Information
EDRS UC 012 v. 2.6 - Print Permits
EDRS UC 021 v. 2.5 - medical examiner/Medical Examiner Accepts Case
EDRS UC 023 v. 2.7 - Certify Cause of Death
EDRS UC 065 v. 1.3 - Update a Case - FH
EDRS UC 066 v. 1.3 - Update a Case - MC

MVRS UC 012 v. 1.5 - Search
MVRS UC 014 v. 1.9 - Perform Edits

NAPHSIS use case models for death records started at a facility:
EDRS UC 002 v. 2.7 - Create a Case - MC
EDRS UC 008 v. 2.3 - Request for Medical Certification
EDRS UC 009 v. 2.6 - Sign Personal Information
EDRS UC 012 v. 2.6 - Print Permits
EDRS UC 021 v. 2.5 - medical examiner/Medical Examiner Accepts Case
EDRS UC 023 v. 2.7 - Certify Cause of Death
EDRS UC 066 v. 1.3 - Update a Case - MC
MVRS UC 012 v. 1.5 - Search
MVRS UC 014 v. 1.9 - Perform Edits

BUSINESS PROCESS: DEATH OVERVIEW

The future vision for EVRS is to allow death records to be initiated electronically by any stakeholder, i.e.: facility users such as hospice nurses or hospital medical records clerks; medical examiners; physicians; or funeral directors. Death records are started by logging into the EVRS system. Minimum demographic information to start a case is entered. The system checks for a match to an existing record in the EVRS database. Potential record matches are reviewed by the user and if a record from the list is found to be a match, the record is retrieved. If no match is found in the EVRS, the system automatically checks the Health Exchange to find a match. If a match is found, the user reviews the information and decides whether to accept the data into EVRS. If yes, a new EVRS record is created and the user makes additions and modifications as necessary to complete the record. If no match exists in EVRS or in the Health Exchange, a new record is created in EVRS.

Hard edits keep the record from being submitted for registration until all required fields are completed. Soft edits are validated by the user during the data entry process to confirm out-of-range values.

Once the record is complete, it is submitted electronically to the State. The State File Number (SFN) and Local File Number (LFN) are applied to the record. The record is ready for issuance, query review, and submission to NCHS for cause-of-death reporting.

Description: Minimum info to create record (Facility/Medical Examiner/Medical Certifier/Funeral Home/EMS Pronouncer) (Box 1)

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D1	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
D2	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
D3	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
D4	**Temporary Medical Examiner Assignment**	Please see the General Requirements, section D for rules related to medical examiners serving temporarily in another county to cover vacations and other time off.		
D5	**Check Health Exchange**	Please see the Start a Birth at a Facility Requirements, for rules related to checking the Health Exchange to start a record.		
D6	**Record Started by Any User**	Minimum info to start a record can be entered by the facility, medical examiner/ME, medical certifier, or funeral home.	E - Exact Match	

D7	**EMS Pronouncer Can Start Record**	EMS users can star a death record with minimal demographic information, pronouncing information, and other State defined fields.	W - Workflow or System Configuration Required	Create gui group/function group for new EMS users
D8	**Minimum Information to Start Record**	The minimum information to start a record is used to populate the Authorization for Disposition. These include: Decedents name, Date of Death, Time of Death, Location of Death, County, and other State-defined fields.	E - Exact Match	
D9	**Removal from State**	If a West Virginia funeral home is handling a death out of state, the West Virginia funeral home starts the record in order to print the Authorization for Disposition.	W - Workflow or System Configuration Required	Trade call/transfer record
D10	**Listing of Funeral Homes for Out-of-State Deaths**	If a West Virginia funeral home is preparing a body for out-of-state disposition, both funeral homes will be listed on the death certificate.	W - Workflow or System Configuration Required	Certificate must have space for both FHs on certificate
D11	**Medical Examiner Crosses County**	A medical examiner can be designated (see general requirements) to handle cases from another county if the medical examiner for that county is on vacation.	E - Exact Match	Choose from dropdown list of state's medical certifiers
D12	**Record Contains County of Occurrence**	If a medical examiner starts a record for a medical examiner in another county, the record contains the county/location corresponding to the medical examiner who is unavailable (true county of) event.	E - Exact Match	County of death is based upon place of death not certifier
D13	**Record Contains County of Process**	If a medical examiner starts a record for the medical examiner in another county, the record contains the county/location of the medical examiner who is processing the record.	E - Exact Match	County of certifier is contained in certifier's address fields
D14	**Record Contains Medical Examiner of Process**	If a medical examiner starts a record for the medical examiner in another county, the record contains the medical examiner who is processing the record.	E - Exact Match	
D15	**Signing Shared Record**	The medical examiner who completes the record will certify the record.	E - Exact Match	
D16	**Medical Examiner of Occurrence Overwrite**	The medical examiner of the county in which the event occurred will have the option to certify the record even if s/he did not finish the record.	W - Workflow or System Configuration Required	Currently can use the alternate medical certifier fields; any additions would be work
D17	**Ownership of Medical Examiner Records**	Any medical examiner within a county or at the OCME can access a medical examiner case based on role/profile.	E - Exact Match	
D18	**Flag Out-of-County Medical Examiner**	If a medical examiner starts a record for a medical examiner in another county, the record contains a flag that designates that the record was started by a medical examiner in another county.	E - Exact Match	Can have a checkbox for alternate coroner/ME
D19	**Identify Medical Examiner Filling In**	If a medical examiner starts a record for a medical examiner in another county, the record includes the individual who initiated the record in such a way as to not overlay the true owner of the record.	E - Exact Match	Currently using alternate coroner/ME fields

Description: Authorization for Disposition (Facility/Medical Examiner/Funeral Home) (Box 2)

	Business Rule Name	***Business Rule Description***	***Vendor Response***	***Comments***
D20	**Authorization for Disposition Initiated**	Any user with access to the death module may start an authorization for disposition. The authorization for disposition is a simply a form that gets printed from the death record, it is part of the death record, and it has its own numbering. It may be a separate tab within the death record from which information entered on to the death certificate is auto-populated onto the AFD.	W - Workflow or System Configuration Required	This sounds similar to Burial transit permit which has been configured before; disposition permit has some fields in death record but not allowed by any users

D21	**Transfer Between Funeral Homes**	Transferring bodies between funeral homes requires an Authorization for Disposition.	W - Workflow or System Configuration Required	This sounds similar to Burial transit permit which has been configured before; disposition
D22	**Transfer from Medical Examiner to Funeral Home**	Transferring a body from a medical examiner to a funeral home requires an Authorization for Disposition.	W - Workflow or System Configuration Required	This sounds similar to Burial transit permit which has been configured before; disposition
D23	**Out-of-State Requires Authorization for Disposition**	Transferring a body out of state requires an Authorization for Disposition.	W - Workflow or System Configuration Required	This sounds similar to Burial transit permit which has been configured before; disposition
D24	**Authorization for Disposition Number**	The system generates Authorization for Disposition numbers.	W - Workflow or System Configuration Required	This sounds similar to Burial transit permit which has been configured before; disposition
D25	**Authorization for Disposition Number Format**	The format of the Authorization for Disposition number is year-sequence number.	E - Exact Match	
D26	**Authorization for Disposition Number Reset**	The sequence for the Authorization for Disposition number is reset at the beginning of the year.	E - Exact Match	
D27	**Print at Any Location**	The Authorization for Disposition can be printed at any location involved in the event.	E - Exact Match	
D28	**Unlimited Copies**	There is no limit on the number of copies of the Authorization for Disposition that can be printed.	E - Exact Match	
D29	**Capture Transport**	The system includes the ability to capture the identity of the transport company.	w - Workflow or System Configuration Required	
D30	**Capture Individual Authorizing Release of Body**	The death record includes a field to capture the name of the next of kin or individual who authorized release of body.	E - Exact Match	This has been configured previously
D31	**Authorization for Disposition Fields**	The format and content of the Authorization for Disposition are State-defined.	E - Exact Match	
D32	**Aliases**	The Authorization for Disposition allows for aliases and regular names.	E - Exact Match	
D33	**Merge Feature**	The system provides the ability to merge death records if legal names and aliases are used to start multiple records for the same decedent.	N- Cannot Meet	The sytem does not have a way to merge records automatically

Description: Demographic information (Funeral Home/Facility/Medical Examiner/Medical Certifier/Hospice Administrator) (Box 3)

	Business Rule Name	***Business Rule Description***	***Vendor Response***	***Comments***
D34	**Demographic Information**	Any authorized user at a funeral home or facility or any medical examiner, medical certifier or hospice administrator may complete the demographic information.	E - Exact Match	
D35	**FH Notification for Change to Demographics**	The system notifies the funeral home if the certifier changes demographic information that was entered by the funeral home.	W - Workflow or System Configuration Required	We have done this in the past but it requires configuration work
D36	**Certifier Notification for Change to Demographics**	The system notifies the certifier if the funeral home changes demographic information that was entered by the facility or certifier.	w - Workflow or System Configuration Required	We have done this in the past but it requires configuration work
D37	**Reason for Demographic Change**	If a funeral home or medical certifier changes demographic information entered by the other party, the user changing the information will include a comment as to the reason and proof for the change.	W - Workflow or System Configuration Required	We have done this in the past but it requires configuration work
D38	**Demographic Information**	The system provides a soft edit to compare the DOB and DOD to age-specific causes of death and notifies the user of inconsistencies.	E - Exact Match	

D39	**Funeral Director Certifies Demographic Information**	The system allows a funeral director to certify the demographic information on a certificate.	E - Exact Match	
D40	**Other Authorized Users Certify Demographic Information**	The system allows an authorized user, such as a medical examiner or facility acting as a funeral home, to certify the demographic information.	E - Exact Match	

Description: Medical information (Medical Certifier) (Box 4)

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D41	**Medical Information**	Any authorized user may enter the medical information.	E - Exact Match	
D42	**Certifying Medical Information**	Only a medical certifier may certify the medical information.	E - Exact Match	

END OF DEATH OVERVIEW

BUSINESS PROCESS: START A DEATH RECORD AT A FACILITY

There are multiple ways a death record can be handled at a facility:

1. The user starts a record by entering the minimum demographic information on the decedent and then queues the record for the Authorization for Disposition to be completed and printed.
2. The user can start the record by entering the minimum demographic information and medical information, and then have the medical certifier certify the death either by having him/her log directly in and certify or by queuing the record for the medical certifier to review and certify.
3. The user can complete both the demographic and medical portions of the record in cases where the facility/medical examiner is acting as a funeral home.

Description: Death occurs (Box 1); Facility logs into the EVRS (Box 2)

A death occurs and the user logs into EVRS.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D43	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
D44	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
D45	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
D46	**Search Rules**	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
D47	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
D48	**Facilities May Only View Own Records**	The system allows authorized users of a given facility to view only the records created by that facility, based on login location and information.	E - Exact Match	
D49	**Pending Queue**	The system provides a queue for records that have been started at a facility but were not submitted.	E - Exact Match	
D50	**Facility Medical Certifier Queue**	The system provides a queue for records that are ready for medical certifiers to access and complete.	E - Exact Match	

D51	**Authorization for Disposition Queue**	The system provides a queue of in-process Authorization for Dispositions.	W - Workflow or System Configuration Required	This is similar to BTP and there is a queue for pending, otherwise this is configuratoin
D52	**Message for Authorization for Disposition Queue**	The system sends a message to the hospital, stating that the Authorization for Disposition was created and queued.	W - Workflow or System Configuration Required	This requires configuration to send email

Description: Complete minimal demographic information and select funeral home (Box 3); Print Authorization for Disposition (Box 4); Funeral home picks up body with Authorization for Disposition (Box 5)

The user enters the minimum demographic information required to start a record in order to print the Authorization for Disposition to accompany the body. Once the funeral home and/or transport company signs the Authorization for Disposition and picks up the body, the facility scans and attaches the signed Authorization for Disposition to the death record.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D53	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
D54	**Scanning**	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
D55	**Death Screens Specific to Function**	Death screens are specific to the function being performed.	E - Exact Match	
D56	**Death Screens Specific to Role or Location Based on Function**	Death screens are either user-role or location based, depending on the functions being performed. For example, if a facility starts a record to certify medical information, the facility would see a subset of the demographic fields sufficient to start the record and all of the medical information fields; if it was a facility acting as a funeral home, all demographic and medical fields would be available to the user.	E - Exact Match	
D57	**Hard Edits 1**	The system provides hard edits for all NCHS-required fields.	E - Exact Match	
D58	**Hard Edits 2**	The system allows for State-defined hard edits.	E - Exact Match	
D59	**Hard Edits 3**	Hard edits may be turned on and off individually by an authorized user.	E - Exact Match	
D60	**Name Not Known**	If the name of the decedent is not known at the time of entry, the system provides a way for the user to indicate this within the record that will allow the record to be certified.	W - Workflow or System Configuration Required	We can place an "Unidentified" checkbox next to the name fields
D61	**Auto-Populate with "Unidentified"**	If the record is marked as "name unknown," the systems automatically populates the name fields with "Unidentified."	E - Exact Match	
D62	**Change Name from "Unidentified"**	The system allows an authorized user to change the name from "Unidentified" to a proper name up until the time the record becomes certified.	w - Workflow or System Configuration Required	Currently we allow unidentified to be certified, if this is not allowed we will have to configure
D63	**Multiple Name Not Known**	The system accommodates multiple unidentified bodies in such a way that duplicates are not created within the system and each unidentified body is easily and uniquely identified.	E - Exact Match	Currently we use a sequential numbering scheme to attach unique IDs to a decedent
D64	**Assign Funeral Home**	The user may assign a funeral home, if one is known when the record is started.	E - Exact Match	

D65	Funeral Home Drop-Down	The system allows a user to select a funeral home from a State-defined pick list.	E - Exact Match	
D66	Information Populates	When a user selects a funeral home, the system auto-populates all information for the selected funeral home into the record.	E - Exact Match	
D67	"Other" Not an Option	The system does not allow the user to select "other" for a funeral home, **with the exception of home burials.**	W - Workflow or System Configuration Required	Will have to add edit and filtering to not allow Other
D68	Home Burials as "Other"	In the case of home burials, the system provides an indicator that the body is being released to the family/relation for home burial.	W - Workflow or System Configuration Required	Must add field to release body to family
D69	Additional Information for Home Burials	When the check box is selected for the release of a body to the family for home burial, additional information fields are opened to capture to whom the body is released to. Those fields are State-defined and include, but are not limited to, relation to deceased, first name, last name, and address.	E - Exact Match	
D70	Human Gift Registry	Human Gift Registry/Donation is an option for disposition. If selected, additional fields open to capture to whom the body is being donated to.	E - Exact Match	Donation is an option for disposition and cemetery/disposition fields open for entry of
D71	Indicate if Funeral Home is In State or Out of State	The system provides a method to indicate if the funeral home selected is within the state or out of state, and which state it is located in.	E - Exact Match	
D72	Bury in Any County	A funeral home is not restricted to their own county for burial of the body.	E - Exact Match	
D73	Queue for Funeral Home	Once a funeral home is selected by a system user, the record automatically queues for the funeral home.	E - Exact Match	
D74	Assign Medical Certifier	The system allows the user to assign a medical certifier, if known.	E - Exact Match	
D75	Enter Medical Information Including COD	The system allows an authorized user to enter the medical information, including COD.	E - Exact Match	
D76	Medical Certifier Queue	Once a medical certifier is assigned, the record is queued for the medical certifier.	E - Exact Match	
D77	Medical Record Number	The system includes a field for the user to enter the medical record number.	E - Exact Match	
D78	OVS Verification Runs	OVS runs, at the earliest point possible, when the record is started.	E - Exact Match	
D79	OVS Verification	The results of the OVS populate in the system and are available for the user to see.	E - Exact Match	
D80	Only Funeral Homes May Order Certified Copies	The system only allows funeral homes to request certified copies of a death record through the system.	E - Exact Match	
D81	Queue for County or State Printing	Certified copies that have been requested online by a funeral home are queued for printing at the county or State once they are registered.	E - Exact Match	
D82	Notify for Pickup	The system sends a notification to the funeral home when the certified copies are ready for pickup.	E - Exact Match	
D83	Complete Demographic Section	The system requires that the facility/funeral home complete the demographic data fields before submitting it to the State.	E - Exact Match	

D84	**Scan Signed Authorization for Disposition**	The system allows a user to scan and attach a copy of the signed Authorization for Disposition to the electronic record.	E - Exact Match	
D85	**Leave Authorization for Disposition Queue**	The system moves the record from the Authorization for Disposition queue once the Authorization for Disposition is marked as "complete."	W - Workflow or System Configuration Required	
D86	**Transport of Donated Bodies**	A Disinterment-Reinterment Application and Permit is printed with disposition instructions to transport remains to a funeral home after a gift registry/medical research facility is finished with the body.	E - Exact Match	
D87	**Choice for Authorization for Disposition**	When a donated body is transported to a funeral home, the user can either add the transport to the previous Authorization for Disposition or create a new Authorization for Disposition.	W - Workflow or System Configuration Required	Possibly configuration to add fields to screen
D88	**Link Authorization for Disposition to Record**	All Authorization for Dispositions are linked to the death record.	E - Exact Match	
D89	**Update Disposition**	An amendment is required to change the method of disposition when a body is returned to a funeral home by a medical research facility. The amendment can occur on the original or new Disinterment-Reinterment Application and Permit.	W - Workflow or System Configuration Required	Configuration to allow amendment process
D90	**Retain Old AFD Information and Enter New AFD**	When a new AFD is created, if there was previously an AFD associated with that record, the system retains the information from the previous AFD within the death record, and allows the user to enter a new AFD with new information.	E - Exact Match	
D91	**Watermarked White Copy - Medical Examiner**	The system allows the medical examiner to print or save digital copies of watermarked white copies of a death record.	E - Exact Match	
D92	**Watermarked White Copy - Funeral Home**	The system allows authorized funeral homes to print or save digital copies of watermarked white copies of a death record.	E - Exact Match	
D93	**Watermarked White Copy - Medical Certifier**	The system allows authorized medical certifiers to print or save digital copies of watermarked white copies of a death record.	E - Exact Match	
Additional Authorization for Disposition Rules				
D94	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
D95	**Scanning**	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
D96	**Authorization for Disposition Information**	The minimum information entered by a user used to start a record is automatically populated by the system into the appropriate Authorization for Disposition fields.	E - Exact Match	
D97	**Authorization for Disposition Fields State-Defined**	The fields of the Authorization for Disposition are State-defined.	E - Exact Match	
D98	**Complete Authorization for Disposition Fields**	The user may complete Authorization for Disposition fields at the time they start the record.	E - Exact Match	
D99	**Authorization for Disposition Includes County Name**	The Authorization for Disposition includes the county name corresponding to the location of death.	E - Exact Match	
D100	**Scan Signed Authorization for Disposition**	The system allows a user to scan and attach a copy of the signed Authorization for Disposition to the electronic record.	E - Exact Match	

D101	**Mark Authorization for Disposition Complete**	The system marks the Authorization for Disposition "complete" when the funeral home and medical certifier have completed the record and signed with their PIN.	E - Exact Match	
D102	**Message for Completion**	The system sends a message to the record owners once the Authorization for Disposition is marked as "complete."	w - Workflow or System Configuration Required	Configuration to send appropriate users email notification
D103	**Leave Authorization for Disposition Queue**	The system moves the record from the Authorization for Disposition Queue once the Authorization for Disposition is marked as "complete."	E - Exact Match	

Description: M.C. ready to sign? (Box 6); If yes, enter medical information and M.C. certifies record (Box 7). If no, queue record for M.C. (Box 8). The MC completes medical information and enters PIN (Box 9).
If the Medical certifier is ready to sign, s/he enters the medical information and certifies using a PIN. If s/he is not ready to sign, the EVRS user puts the record into the MC Queue. Once the Medical Certifier is ready to sign the record, s/he retrieves record from the queue, completes the medical section of the record, and certifies using a PIN.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D104	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
D105	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
D106	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
D107	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
D108	**Medical Information Rules**	Rules related to entering medical information may be found in Start a Death at a Funeral Home process Box 17. All those rules apply to this section.		
D109	**Facility Queue**	The facility queue is by facility, not by individual doctor.	E - Exact Match	
D110	**Facility Queue Sortable**	The facility queue is sortable by certifier so an administrator may quickly find their records.	E - Exact Match	
D111	**Message in Addition to MC Queue**	The system provides messaging in addition to queues to notify medical certifiers of records waiting to be certified.	E - Exact Match	
D112	**Email Sent to External Email Address**	When the system sends a message alerting the medical certifier that they have a new record to certify, an email is also sent at same the time to an external email address.	E - Exact Match	
D113	**Certifying Through Mobile App**	The system provides a mobile version of the EVRS for completion of the entire death record from a mobile or handheld device. The mobile version must function exactly as the desktop version of the EVRS functions.	W - Workflow or System Configuration Required	Some of the features of the desktop version are not present in the mobile version.
D114	**Multiple User**	The system allows multiple users to enter the medical information but the medical certifier must certify information entered.	E - Exact Match	
D115	**Assign Funeral Home**	The funeral home may be assigned at anytime by an authorized user.	E - Exact Match	

D116	**Change Medical Certifier**	The system allows a medical certifier to reassign the record to another medical certifier within the same facility.	E - Exact Match	
D117	**Verification Required**	The time of death and date of death must be verified by a physician.	E - Exact Match	
D118	**Act as Funeral Home**	The system allows a hospital to act in lieu of a funeral home in the case of body donations. *(used to read "hospital")*	E - Exact Match	
D119	**Unknown Date or Time of Death**	The choice for Date and Time of Death when they are not known are: Date of Death Unknown, Time of Death Unknown, Date of Death Found, Time of Death Found.	E - Exact Match	
D120	**File Records**	The record is submitted to the State once the demographic and medical information have been certified.	W - Workflow or System Configuration Required	This is configurable to client; if client wants records to be registered by state only, then
D121	**Lock Fields**	All medical fields are locked once the record is certified.	E - Exact Match	
Additional Rules for Pending COD				
D122	**Pending COD/Manner of Death Queue**	The system provides a work queue for all records within a given facility that have a "pending COD" and/or "pending manner of death."	E - Exact Match	
D123	**Flag Pending COD/Manner of Death Records**	All records that are submitted with a pending COD/manner of death are flagged as such.	E - Exact Match	

Description: COD Rapid Reporting or Violent Death? (Box 10); If yes, a message is sent to the State and county (Box 11); The record is registered if the demographic portion is complete (Box 12); Go to Death Record at a Funeral Home Flow.

Once the MC has entered and certified the medical information, the record is checked to see if it is applicable for COD Rapid Reporting or Violent Deaths. If applicable, a message is sent to the State, alerting them that the record is applicable. After the State is alerted, or if the record is not applicable to COD Rapid Reporting or Violent Deaths, the record is automatically registered if the demographic portion is complete. If the demographic portion is not complete, go to Death Record at a Funeral Home Flow.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D124	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
D125	**Scanning**	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
D126	**Authorization for Disposition Queue**	The system provides an Authorization for Disposition Queue.	E - Exact Match	This is similar to a Burial transit permit which has been configured for other clients
D127	**Multiple Entities Listed on Authorization for Disposition**	The system provides the ability for multiple entities to be listed on the Authorization for Disposition.	W - Workflow or System Configuration Required	This is similar to a Burial transit permit which has been configured for other clients; up to two
D128	**Generate Updated Authorization for Disposition**	Whenever a body is moved between one user to another, an updated Authorization for Disposition must be generated (for example, when the hospital releases the body to the medical examiner and the medical examiner releases body to the funeral home; or if there is a transfer a body between Funeral Home A to Funeral Home B).	W - Workflow or System Configuration Required	This is similar to a Burial transit permit which has been configured for other clients; up to two are on each BTP but unlimited bpts can be added via grid
D129	**State May Update Authorization for Disposition**	The State can assist a funeral home with making changes to an Authorization for Disposition when a body is transferred between funeral homes.	W - Workflow or System Configuration Required	This is similar to a Burial transit permit which has been configured for other clients

D130	**Funeral Home and Transport Company Fields on the Authorization for Disposition**	The system provides State-defined fields on the Authorization for Disposition to capture the funeral home and transport company information.	w - Workflow or System Configuration Required	This is similar to a Burial transit permit which has been configured for other clients
D131	**Assign Funeral Home and/or Transportation Company**	The system allows a user to assign a funeral home and/or transportation company.	E - Exact Match	
D132	**Information Populates**	When a user selects a funeral home and/or transportation company, the system auto-populates the information for the funeral home and/or transport company selected.	E - Exact Match	
D133	**Different Funeral Home and Transportation Company**	The system allows a user to select both a funeral home and transport company, if needed.	w - Workflow or System Configuration Required	If this is different than the BTP fields then we'd need to add transport fields also
D134	**Multiple Funeral Homes/Transport Companies**	The system allows multiple funeral homes and/or transport companies to be listed on the Authorization for Disposition.	w - Workflow or System Configuration Required	This is similar to a Burial transit permit which has been configured for other clients; up to two
D135	**Funeral Home and Transportation List**	The system maintains a State-defined list of funeral homes and transportation companies and additional State-defined fields, such as contact information.	E - Exact Match	
D136	**Ship Out of State**	The system allows the user to select from a State-defined list of known transporters approved to transport bodies out of state.	E - Exact Match	
D137	**Enter Family Information In Funeral Home Fields**	The system allows the user to indicate that the record is a green burial and opens the fields for the user to enter the family's information in the funeral home fields.	E - Exact Match	We are using natural burial checkbox and allowing entry into place of disposition and funeral home fields
D138	**Family as Funeral Home on Authorization for Disposition**	For green burials, the system automatically updates the Authorization for Disposition to include the family's information in the fields for the funeral home.	E - Exact Match	
D139	**Funeral Home Queue**	Once a funeral home is assigned, the record is queued for the funeral home.	E - Exact Match	
D140	**Do Not Queue for Transport Companies**	Records are not queued for transport companies.	w - Workflow or System Configuration Required	
D141	**Funeral Home Selected**	The system will not allow a user to print an Authorization for Disposition before a funeral home is selected.	E - Exact Match	Sounds like BTP and currently it must be marked complete before printing
D142	**Authorization for Disposition Fields Lock**	The system locks the Authorization for Disposition fields once it is complete and printed by the user.	E - Exact Match	
D143	**Authorization for Disposition "Complete" Status**	The system will consider an Authorization for Disposition complete once all fields, as defined by the State, are completed.	E - Exact Match	
D144	**Print Authorization for Disposition**	The system allows the user to print the Authorization for Disposition when all required State-defined fields have been completed.	E - Exact Match	
D145	**Print on Plain Paper**	Authorization for Dispositions are printed on plain paper.	E - Exact Match	
D146	**Authorized Users May Print**	The system only allows authorized users to print copies of an Authorization for Disposition.	E - Exact Match	
D147	**Authorization for Disposition Control Number**	The Authorization for Disposition has a unique number assigned by the system. These numbers are different from the case and state file numbers and include AD, year, and sequential number (example: 2015-AD123456).	E - Exact Match	
D148	**Print Electronic Signature on Authorization for Disposition**	The Authorization for Disposition prints with the names of the funeral home and medical certifier and the appropriate electronic signature image of the registrar.	E - Exact Match	

D149	**Optional Signature Line**	The system provides a space for the issuer of the Authorization for Disposition to physically sign the Authorization for Disposition.	E - Exact Match	
D150	**Capture Physical Signature of Receiver**	The system provides a space to capture the physical signature of the person who receives the Authorization for Disposition.	E - Exact Match	
D151	**Link Authorization for Disposition Information to Record**	The printing of an Authorization for Disposition is captured in the document history and becomes part of the death record.	E - Exact Match	
D152	**"Authorization for Disposition Complete" Edit Check**	The system automatically runs edit checks once all state-defined fields are completed for an Authorization for Disposition.	E - Exact Match	
D153	**Confirm Prior to PIN**	The system provides a pop-up message for a funeral home to confirm that the Authorization for Disposition is complete prior to entering their PIN.	E - Exact Match	
D154	**Updates to Authorization for Disposition Details**	Updates to the Authorization for Disposition do not change the death record data. The information is only aggregate to the Authorization for Disposition.	E - Exact Match	
D155	**Update Death Certificate with Authorization for Disposition Information**	Document history for Authorization for Dispositions may include key information regarding the printing of the Authorization for Disposition, such as: number of times a permit has been printed for this case, person involved in the print request, and the Authorization for Disposition number.	E - Exact Match	
Additional Rules for Green Burials				
D156	**Green Burials**	The system provides the user with a method to indicate that the burial will be at a green burial location.	E - Exact Match	
D157	**Green Burial Location List**	If the user selects green burial, the system provides the user with a list of green burial locations to select from.	E - Exact Match	
D158	**Auto-Populate Green Burial Information**	Once the user selects the green burial location, the system auto-populates fields based on the burial location selected.	E - Exact Match	
Additional Rules for Home Burials				
D159	**Authorization for Disposition Required for Home Burial**	An Authorization for Disposition is required for home burials.	E - Exact Match	
D160	**Note "Home Burial" on Authorization for Disposition**	The Authorization for Disposition includes notation of home burials.	W - Workflow or System Configuration Required	
D161	**Note "Home Burial" on Certificate**	The death certificate includes notation of private property burials.	E - Exact Match	
D162	**Select "Home Burial"**	The system includes a method for the user to indicate home burials.	W - Workflow or System Configuration Required	Some Clients have added a private property burial checkbox
D163	**Funeral Home License Number Not Required for Home Burials**	The system allows the funeral home license number to be an optional field in the event of home burials.	E - Exact Match	
D164	**No Funeral Home for Home Burials**	for State users to capture the informant's information and demographic portion of the death record.	E - Exact Match	
D165	**Relaxed Edits For Home Burials**	The system allows for relaxed edits when home burial is selected as the method for disposition.	W - Workflow or System Configuration Required	
D166	**Enter Method and Location of Disposition for Home Burials**	If the user indicates a home burial, fields related to the method and location of disposition are opened for the user to type in State-defined information.	E - Exact Match	
Additional Rules for Cemeteries and Crematories				

D167	**Cemetery/Crematory Users**	The system provides a role/profile for cemetery and crematory personnel.	W - Workflow or System Configuration Required	Must create role/group for users
D168	**Limited Role**	Authorized cemetery/crematory users can only view records for decedents designated for their facility.	W - Workflow or System Configuration Required	Must create role/group for users
D169	**Print Documents but Not Certificates**	Authorized cemetery/crematory users can print documents but not certificates.	W - Workflow or System Configuration Required	Must create role/group for users
Additional Rules for Disinterment-Reinterment				
D170	**Funeral Home Request**	Funeral homes can create disinterment requests in the system.	W - Workflow or System Configuration Required	Configuration to create a request, who are they requesting from...
D171	**Medical Examiner Requests**	Medical examiners can create disinterment requests in the system.	W - Workflow or System Configuration Required	Configuration to create a request, who are they requesting from...
D172	**Court Order Number**	The system will capture court order numbers on disinterment permits, when a court order is needed.	W - Workflow or System Configuration Required	
D173	**County of Court Order**	The system will capture the county where the court order was issued.	W - Workflow or System Configuration Required	
D174	**Capture Civil Action Number**	The system will capture the civil action number.	W - Workflow or System Configuration Required	
D175	**Capture Date of Court Order**	The system will capture the date that the judge signed off on the court order.	W - Workflow or System Configuration Required	
D176	**Create Disinterment-Reinterment Application and Permit**	State users can create disinterment-reinterment permits in the system.	E - Exact Match	
D177	**Next of Kin Signatures**	The disinterment permit incorporates digital signature for next of kin, power of attorney, or executor.	M - Modify	Currently without Topaz signature pads we cannot capture electronic signatures
D178	**"No Court Order" Check Box**	If request for disinterment was not created by court order, the system provides a check box that indicates that the request does not have a court order.	w - Workflow or System Configuration Required	Need to add a checkbox
D179	**Capture Requestor Information**	When the "no court order" check box is selected, additional fields open to capture the requestor's information. Fields are State-defined and include, but are not limited to, requestor's name, address, and relationship to decedent.	w - Workflow or System Configuration Required	
D180	**Capture 2 Signatures for No Court Order**	If the "no court order" check box is selected, the system allows the disinterment request to be printed and captures signatures of both the FH Director and disinterment requestor.	w - Workflow or System Configuration Required	
D181	**Scan and Attach Disinterment Request**	The system allows users to scan the disinterment request signed by both FH Director and Requestor into the system and to attach it to the Disinterment-Reinterment Application and Permit.	E - Exact Match	
D182	**Disinterment Permit Queue**	Disinterment permits are queued for State review and approval/denial.	w - Workflow or System Configuration Required	Add state work queue to review BTPs
D183	**View Disinterment Permit Queue**	The requestor can access the Permit and Authorization for Disposition Queue and view the State action (approve/deny).	w - Workflow or System Configuration Required	Add work queues
D184	**Correct and Resubmit**	The requestor can correct and resubmit a denied request.	w - Workflow or System Configuration Required	Add fields to request/approve/deny permit

D185	**Print Disinterment Permit and Authorization for Disposition**	The requestor can access the Permit and Authorization for Disposition queue to print copies of the approved permit and the Authorization for Disposition.	w - Workflow or System Configuration Required	Add work queues
D186	**Create or Addend Authorization for Disposition**	Upon receiving State approval, the system produces or addends the Authorization for Disposition.	w - Workflow or System Configuration Required	Configure fields to allow permit to be printed once it's authorized?
D187	**Amend Disinterment-Reinterment Application and Permit**	The funeral home can submit a request to amend an approved permit if the disinterment date has changed from the previously specified date.	w - Workflow or System Configuration Required	Add fields/edits to request amendment of permit
D188	**Expiration Date of Permit**	Disinterment permits expire (60) days from the date of issuance; the system calculates that date of expiration.	w - Workflow or System Configuration Required	Configure fields to calculate date and mark as inactive or not allow printing
D189	**Expired Permits**	The system closes permits that are more than 60 days old and places a hold on the permit. Permits with holds cannot be issued.	w - Workflow or System Configuration Required	Add fields/edits to put permit on hold
D190	**Expiration Date Printed on Permit**	The date of expiration is printed on disinterment-reinterment permits.	w - Workflow or System Configuration Required	Add fields/edits to calculate date
D191	**Status of Expired Permits**	When a disinterment permit expires, its status changes to "expired" and the permit is placed in the Expired Disinterment-Reinterment Permit Queue.	w - Workflow or System Configuration Required	Add work queues
D192	**Re-Issue Expired Permits**	A system user may re-issue an expired permit if the request is made by the original requestor. The status of the permit will be updated from "expired" to "re-issued". A new expiration date will print on the re-issued permit.	w - Workflow or System Configuration Required	Add fields/edits to calc date and allow re-issuance
D193	**Re-Enter Requestor Information**	When an expired permit is requested to be re-opened the system prompts the user to enter the Requestor's information. Information must match original Requestor or re-opening of permit is denied.	w - Workflow or System Configuration Required	Add fields/edits to allow capture of requestor info
D194	**"Re-Issue" Status Printed on Permit**	When an expired permit is re-issued, the status is printed as "re-issued" on the new permit.	w - Workflow or System Configuration Required	Add flag to mark re-issued
D195	**New Expiration Date Printed on Re-Issued Permits**	When an expired permit is re-issued, a new 60-day expiration date is printed at the time of issuance.	w - Workflow or System Configuration Required	Add fields/edits to calc the date
D196	**No Charge to Re-Issue Expired Permit**	The system will calculate a no-charge for the re-issuance of expired permits.	w - Workflow or System Configuration Required	Add no charge for fee table
D197	**Amend Place of Burial**	Funeral homes can submit a request to amend the place of burial once disinterment and reinterment is complete.	w - Workflow or System Configuration Required	Add work flow to allow amendment
D198	**Documentation for Amendment to Place of Burial**	Funeral homes must provide the completed and signed disinterment-reinterment permit when submitting a request for an amendment to the place of burial.	w - Workflow or System Configuration Required	Add flag field to verify they provided permit
D199	**Authorized Signature**	Funeral home directors must sign and attest that the reinterment took place.	w - Workflow or System Configuration Required	Add fields/edits for FH to sign
D200	**Authorized Signatures if No Court Order**	If a court order is not linked to the disinterment-reinterment permit, the system will not allow the permit to be closed without the two signatures of a funeral home director and next of kin.	w - Workflow or System Configuration Required	Add fields to 'sign' off and edits not allowing permit to be completed w/o marking
D201	**Disinterment Permit Number**	The system will generate a unique disinterment-reinterment number for each permit.	E - Exact Match	
D202	**Scan and Attach Completed Permit**	Signed and completed disinterment-reinternment permits are scanned and attached to the amendment request.	E - Exact Match	

D203	**Mass Disinterment-Reinternment**	If more than five (5) bodies are being reinterred, the EVRS user selects "Mass Reinterment." Selecting this option allows the user to add as many names to the permit as needed.	M - Modify	This may require that the disinternment/reinternment be a separate screen event from the death record to
D204	**Mass Disinterment-Reinternment Permit**	When a mass disinterment-reinterment permit is issued and death certificates are not found in the EVRS to match each name on the request, the system puts a flag on that request and holds it in a queue.	M - Modify	This may require that the disinternment/reinternment be a separate screen event from the death record to
D205	**Disinterment Queue**	A queue exists to track circumstances where death certificates do not exist for individuals disinterred through a permit, or the body of an out-of-state decedent buried in WV was disinterred.	w - Workflow or System Configuration Required	Must create work queues
D206	**Reinternment Queue**	A queue exists to track circumstances where death certificates do not exist for individuals reinterned through a permit, or the body of an out-of-state decedent buried in WV was reinterned.	w - Workflow or System Configuration Required	Must create work queues
D207	**Status of Permits in Queue**	The Disinterment-reinterment permit status is shown in the queue.	w - Workflow or System Configuration Required	
D208	**Disinterment of OOS Resident Buried in WV**	If a decedent died in another state but was buried in WV, the disinterment-reinterment permit must capture the following information: State of death, date of death, death certificate number, name of decedent, and other State-defined information.	w - Workflow or System Configuration Required	
D209	**Freestanding Permit**	If no death certificate can be linked to the decedent on the disinterment-reinterment permit, the system will allow "000000" to be entered for the death certificate number. Those numbers identify it as a freestanding disinterment-reinterment permit that is not linkable.	w - Workflow or System Configuration Required	Configure to allow flag of no death certificate; also this is rather confusing, per D20 the permit is inclusive of the death record (certificate); per this requirement there can be a permit without
D210	**Cremation Permits for Reinterments**	If the disinterment-reinterment permit states that the sole purpose of removing remains is to have them cremated, a funeral home director does not need to sign off on the permit. The permit is still needed to attain approval from the medical examiner for cremation.	w - Workflow or System Configuration Required	Add field to specify cremation and relax edits requiring signatures
D211	**Cremation Approval for Disinterred Remains**	If the disinterment-reinterment permit is for the sole purpose of cremating the remains, the EVRS user assigns the case to the medical examiner for their approval on the cremation permit.	w - Workflow or System Configuration Required	Add fields and work queue
D212	**Cremation Permits Can Substitute for Reinternment Permit**	If the disinterment-reinterment permit is for the sole purpose of cremating the disinterred remains, the cremation permit can substitute for reinternment permit. The cremation permit serves as the final approval for disposition in this case.	w - Workflow or System Configuration Required	
D213	**Cremation Permit and Disinterment Permit Linked**	When the cremation permit is substituted for the reinternment permit, both the disinterment permit and cremation permit are linked in the system through the death record.	w - Workflow or System Configuration Required	

END OF START A DEATH RECORD AT A FACILITY

BUSINESS PROCESS: START A DEATH RECORD AT A FUNERAL HOME

The funeral home is legally responsible for submitting the death certificate for filing with the State. Funeral homes may start records or continue records that have been started by other stakeholders such as a facility, medical examiner or medical certifier.

Once the funeral home has obtained the decedent information, the funeral home user enters or updates the demographic information in the decedent's record. The SSA verification executes automatically upon entering and saving the decedent's social security number. A verification copy of the worksheet may be printed for the family to review. If errors are found, the funeral home may access and edit the record as many times as needed to correct the information. Once the personal information is deemed accurate, the family signs the verification form. The funeral director electronically signs the personal information section of the certificate and a copy of the signed verification form is scanned and attached to the record.

Medical information may already have been certified by the medical certifier, in which case the record would be filed upon signing the personal information. Alternatively, the funeral home may assign the medical certifier and queue the record for the medical certifier to complete the medical information.

Once the funeral home has completed their portion of the record, they may request the number of certified copies required. Cremation permits may also be requested from the medical examiner through the system.

Description: Funeral Home notified of death (Box 1);

The funeral home is notified of the death either by the informant in person or through the system by a facility or medical certifier who has started the case and selected the funeral home.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D214	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
D215	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
D216	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
D217	**Multiple Funeral Homes**	See rules above in Start a Death Record at a Facility Box 7 for additional rules referring to multiple funeral homes being listed.		
D218	**Funeral Home Prints Authorization for Disposition**	The system allows the funeral home to print the Authorization for Disposition in order to bring it to the scene to pick up the body.	E - Exact Match	
D219	**Standard Death Worksheet Available**	The system provides a standard death worksheet for collecting decedent information.	E - Exact Match	

Description: Funeral home user logs into EVRS and searches for the record (Box 2); Is there a match when searching for the record? (Box 3); If no, start a new case (Box 4); If yes, print an Authorization for Disposition (Box 5a) as well as printing a worksheet and meeting with the informant to collect decedent information (Box 5b)

Once logged in, the funeral home may access the queue of pending records and begin working on the case. If the user determines that the record is not in the pending queue, minimal demographic information regarding the decedent is entered to start the record. To avoid the creation of duplicate records, the system always searches for a record prior to starting a new record. The user reviews the records identified and determines if a match has been found. If no match is found, the user begins a new case.

If the user determines that a match exists, the user selects the record and prints an Authorization for Disposition and a worksheet and begins to meet with the informant to collect the decedent's information.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D220	Search Rules	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
D221	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
D222	Search Rules	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
D223	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
D224	Minimum Information to Start Record	Please see rules for Start a Death Record at a Facility Box 3 for minimum demographic information rules.		
D225	Active Record Queue	The system provides a work queue for funeral homes for active records (records that are started but the personal information is not complete).	E - Exact Match	
D226	Records Awaiting Medical Certification Queue	The system provides the State with the ability to easily view all records that are awaiting medical certification.	E - Exact Match	
D227	Certificates Ready for Pickup Notification	The system provides a notification to funeral homes, stating that death certificates ordered through the system by the funeral home are ready for pickup and where to pick them up.	E - Exact Match	
D228	Certificates in Mail	The system provides a notification to funeral homes, stating that death certificates ordered through the system have been mailed to the funeral home.	E - Exact Match	
D229	Ownership Rights	The system checks to ensure that a funeral home user has the appropriate State-defined rights to start a record.	E - Exact Match	
D230	Start Record	If the system does not find a match, the funeral home user is allowed to start a new record if the funeral home user has access rights to the record.	E - Exact Match	
D231	Access Denied	If the system finds a record that has already been started in the system but the ownership belongs to another funeral home, the system will alerts the user with a message to call the State if s/he requires access.	E - Exact Match	
D232	Cannot Start New Record	The system will not allow a user to start a new record if a match is found by the system but the ownership belongs to another funeral home.	E - Exact Match	
D233	Minimum Fields to Start Record	The minimum fields required to start a record are State-defined.	E - Exact Match	
D234	Screens Are Specific	The screens for a funeral home to enter a death record are specific to funeral homes and display all fields necessary to submit the record to the State.	E - Exact Match	
D235	Demographic Fields State-Defined	The demographic data fields that are displayed for funeral homes are State-defined.	E - Exact Match	

Description: Open the record and complete/edit demographic portion (box 6)

Once the record has been accessed or started, the user enters the personal information. Edits are performed to inform the user of errors in the data. The user can correct the data, verify that the data is correct, or skip over the error and come back to correct it at a later time. The user can access the record as many times as necessary to complete the death record accurately.

If errors are found, the system displays the errors and prompts the user to correct the personal information. The funeral home may print an unofficial verification form copy to validate the information with the family once all fields are complete. This is an uncertified copy used to verify information. It is clearly marked "Not a legal copy."

The system interfaces with SSA through its published interface, OVS, to check the decedent's SSN. The interface performs according to specifications indicated by SSA and the system receives and records the results of the SSA validation process. If the information was not verified, the user can make corrections and resubmit the record up to five times. After five attempts, further attempts to verify are blocked by the OVS interface.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D236	Complete Demographic	The system allows an authorized user to complete the state defined demographic information for a death record.	E - Exact Match	
D237	Time of Death	The system does not allow a funeral home to enter the time of death.	E - Exact Match	
D238	Date of Death	The system does not auto-populate the date of death on the Authorization for Disposition when it is entered by a funeral home.	W - Workflow or System Configuration Required	
D239	Date of Death Verification Needed	The system requires the date of death that is entered by a funeral home to be verified by a medical certifier before populating it on the death record.	W - Workflow or System Configuration Required	
D240	Hard Edit Fields May be Populated with "Unknown"	Hard edit fields may accept a value of "unknown."	E - Exact Match	
D241	Text Box for More Information on "Unknown"	The system opens a text box for the user to enter additional information in State-defined fields where "unknown" **is** selected by a user.	W - Workflow or System Configuration Required	
D242	Hard Edit Fields Resolved Prior to Submission	All fields with hard edits are resolved prior to a record being submitted for registration in the system.	E - Exact Match	
D243	Date Found	When the record is marked "found," the date of death is the date found and the time of death is the time found.	E - Exact Match	
D244	Date Found on Certificate	For records marked "found," the date of death fields are labeled "Date Found" or some other State-defined title that dynamically populates on the certificate when printed.	E - Exact Match	
D245	Place of Death Options	Place of death options are State-defined and include options such as: Hospital, Nursing Home, Residence, Assisted Living Facility, Other.	E - Exact Match	
D246	Place of Death Accessible to All Record Owners	Place of death is accessible on both the medical and demographic information screens.	E - Exact Match	
D247	Place of Death Verification Needed	The system requires the place of death that is entered by a funeral home to be verified by a medical certifier before populating it on the death record.	W - Workflow or System Configuration Required	May need verification flags for these
D248	Certifier Overwrites Place of Death	The medical certifier can overwrite the place of death information entered by the funeral home.	E - Exact Match	
D249	"Unknown" as Place of Death	The system does not allow a user to select "unknown" for place of death.	E - Exact Match	

D250	"Other" as Place of Death	If "other" is selected for place of death, the user enters details in a text field.	E - Exact Match	
D251	"Hospital" as Place of Death	If "hospital" is selected for place of death, the user enters additional State-defined information. Options include: Inpatient, ER/Outpatient, and DOA.	E - Exact Match	
D252	Transient/Homeless Death	The system provides a manner of indicating that the decedent is homeless/transient.	E - Exact Match	Currently using Body Found checkbox
D253	Edits for Transient/Homeless Death	If the "homeless/transient" indicator is selected, the system relaxes edits on the entry of State-defined information.	E - Exact Match	
D254	Demographic and Medical Sections May be Accessed Simultaneously	section of a record simultaneously to the medical certifier accessing the medical section of the record. The section not corresponding to a given user is locked.	E - Exact Match	
Additional Rules for Transfers				
D255	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
D256	Allow Funeral Home to Transfer Record to Another Funeral Home	The system allows a funeral home to transfer a record to another funeral home if the record has not been submitted to the State.	E - Exact Match	
D257	Allow State to Transfer Record to/from Another Funeral Home	The system allows the State to transfer a record to another funeral home.	E - Exact Match	
D258	In-State Funeral Homes Selected from List	When an in-state funeral home (system user) is selected **for the transfer**, the user selects the funeral home from a list and the system populates the appropriate fields with the funeral home's information.	E - Exact Match	
Additional Rules for Trade Calls				
D259	Trade Call	The system supports trade calls in which a funeral home acts as a broker for another funeral home.	E - Exact Match	
D260	Trade Call Option	When a funeral home begins a case, the system provides the option to indicate that the work being performed is a trade call.	E - Exact Match	
D261	Indicate if Trade Call is In-State or Out-of-State	The system provides a method to indicate if the funeral home requesting a trade call is in state or out of state, and which state they are located in.	E - Exact Match	
D262	Funeral Home Information for Trade Call	If the trade call option is selected, the system provides both funeral homes with the appropriate fields to capture their name, address, and license number and other State-defined fields.	E - Exact Match	
D263	Funeral Home on Record	The system will indicate which funeral home is requesting the trade call and which funeral home is performing the trade call. Only the funeral home performing the trade call will be the funeral home officially on record. The requesting funeral home will be notated elsewhere on record (for example, on the side).	E - Exact Match	
D264	Funeral Home on Record for OOS	If a WV death occurred but the burial is to take place OOS, the WV funeral home is required to file the death certificate (the funeral home on record) but the OOS funeral home is still noted elsewhere on the certificate.	E - Exact Match	
D265	Appropriate Signature	For trade calls, the personal information is marked complete and signed by the funeral home completing the record.	E - Exact Match	

D266	**Mark as Signed by Funeral Home Requesting Trade Call**	The system allows the user to indicate that the funeral home requesting the trade call has completed and signed off on the worksheet that accompanies the death record for a trade call. Record may be marked by selecting a check box indicating these actions have been completed.	W - Workflow or System Configuration Required	Have to add a checkbox or flag
D267	**Scan Worksheet**	Worksheets completed by an out-of-state funeral homes are scanned and attached to the death record.	E - Exact Match	
D268	**Funeral Home Forgets to Indicate Trade Call**	If the funeral home does not indicate that the case is a trade call, the system provides the opportunity to indicate the trade call after the case has been started.	E - Exact Match	
Additional Rules for Data Entry				
D269	**Occupation and Industry**	Please see General Requirements, II - Occupation and Industry, regarding rules related to occupation and industry.		
D270	**Funeral Home Changes Personal Information Already Entered**	The funeral home is responsible under statute for the personal information section and may change any or all of the fields previously entered by a facility, medical examiner, or medical certifier.	E - Exact Match	
D271	**Selectable Lists and Associated Edits Conform to State Statute and NCHS/NAPHSIS Guidelines**	Selectable lists and the associated edits are defined according to State statute and NCHS/NAPHSIS guidelines (or equivalent). For example: "Retired" is not an acceptable entry for occupation; the occupation prior to retirement is to be listed.	E - Exact Match	
D272	**Funeral Home May Change Information**	The system allows a funeral home to make changes to the minimum information entered to start a record prior to submitting the record to the State.	E - Exact Match	
D273	**County of Death**	The county of death is auto-populated from the Authorization for Disposition.	E - Exact Match	
D274	**Auto-Populate Address of Facility**	When the funeral home selects a facility from a list, the address of the facility is auto-populated.	E - Exact Match	
D275	**Display Name of Funeral Directors in Selectable List**	The system provides a method of selecting the name of the funeral director in the system.	E - Exact Match	
D276	**Auto-Populate Funeral Director License Number**	The license number of the funeral director is auto-populated from the selection of the funeral director's name.	E - Exact Match	
D277	**Name of Embalmer**	The system will capture the name of the funeral home that was the embalmer.	E - Exact Match	
D278	**"Other" Disposition Option**	If "other" is selected for the method of disposition, the system provides a mandatory text field for users to enter comments.	w - Workflow or System Configuration Required	Add field for comments, otherwise user can use the notes feature
D279	**Cemetery List**	The system provides the user with a list of cemeteries to select from for cemetery burials.	E - Exact Match	
D280	**Auto-Populate**	The system auto-populates the cemetery information if a cemetery is selected.	E - Exact Match	
D281	**Allow Funeral Home to Enter Date of Death**	The system allows the funeral director to enter the date of death if it has not already been entered by a medical certifier.	E - Exact Match	

D282	Allow Funeral Home to Enter Date of Death	When the funeral director enters the date of death, the record is flagged to ask for verification of the date by the medical certifier when s/he completes the record.	W - Workflow or System Configuration Required	Add flag and edit
D283	Enter Date of Death Range	The system allows all users to enter a date of death range when searching for a record.	E - Exact Match	
D284	Enter Time of Death Range	The system allows all users to enter a time of death range when searching for a record.	E - Exact Match	
D285	NCHS Time of Death	The system pulls the initial time entered for the time of death range for NCHS.	E - Exact Match	
Additional Rules for Edits				
D286	Hard Edits	Certain State-defined fields have hard edits that do not allow the user to continue until all errors are corrected. Examples of such fields include, but are not limited to: name, sex, DOB, DOD, age, place of death and type of patient (i.e.: in-patient, DOA or ER outpatient) or other State-defined fields.	E - Exact Match	
D287	State-Defined Soft Edits for Interrelated Fields	The State is able to define soft edits for interrelated fields such as decedent's name, spouse's name or informant's name to ensure that spelling is the same.	E - Exact Match	
D288	Standardize Decedent Address	The decedent address is validated using the USPS standards.	M - Modify	
D289	Standardize Place of Death Addresses	The place of death address is validated using the USPS standards.	M - Modify	
D290	Correct Addresses That Do Not Validate	The user is provided with a message and the opportunity to correct the addresses of the decedent or place of death if they do not validate.	M - Modify	
D291	Override Address Standardization	The user can accept the address entered even if the USPS software cannot validate it.	M - Modify	
D292	Consistency of Last Name	The system checks for errors when last names are only slightly different and prompts the user to change or confirm the difference (for example, Smith versus Smyth).	M - Modify	The application does not do this, however we do provide full Soundex functionality. If we write script edits we would only be able to do
Additional Rules for OVS				
D293	Auto-Execute SSN Verification	The SSN verification executes automatically once the SSA required fields for OVS are populated.	E - Exact Match	
D294	Meet SSA Requirements	The OVS interface works according to the specifications defined by SSA.	E - Exact Match	
D295	Store Flag	The system stores a flag in the record that indicates a SSN match or no match.	E - Exact Match	
D296	Provide Message Back to Funeral Home	The system provides a message to the funeral home or other users, as defined by their role, about the status of the validation of the social security number.	E - Exact Match	
D297	SSN Verification for Trade Calls	In the case of a trade call, the SSN verification is executed when the required fields are present regardless of which funeral home enters the data.	E - Exact Match	

D298	View Status of SSN Validation	The system provides the State with the ability to view all records that have not successfully validated through the OVS, the number of attempts made at validating the SSN, and the current reason why they are not validating.	E - Exact Match	
D299	View "Awaiting Response" Status on SSN Validation	The system provides the State with the ability to view, in a summary format, all records that are awaiting a response from the SSA.	E - Exact Match	

Description: Print verification copy (Box 7); Info correct? (Box 8); Scan and attach signed copy to record (Box 9)

When the funeral home user has entered the demographic information into the system, the user has the option to either print a verification copy for the informant to review and sign, or to have the informant review and sign the verification form electronically. If the information is not correct, the user edits the record in the system and reprints the verification copy. The informant signs the verification copy, acknowledging that the information is correct, and the form is then scanned and attached to the record. Alternatively, the informant can review the verification form on a screen and sign it electronically if the information is correct.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D300	**Scanning**	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
D301	Display Verification Copy of Demographics	The system allows a user to display the verification copy with a State-defined watermark such as "For Demographic Verification Only" and/or "Not Legal Copy," for approval by the informant electronically.	E - Exact Match	
D302	Review and Sign Electronically	The system provides the option for the informant to review and sign the verification form electronically.	M - Modify	Currently do not have ability to sign electronically unless using Topaz signature
D303	Print Verification Copy of Demographics	The system allows a user to print a verification copy with a State-defined watermark such as "For Demographic Verification Only" and/or "Not Legal Copy," for signature and approval by the informant.	E - Exact Match	
D304	Access Verification Form Multiple Times	The system allows a user to display or print the verification form multiple times.	E - Exact Match	
D305	View Records and Documents Only for Cases Funeral Home Owns	A funeral home user can view records and documents if they are the designated owner or have been granted access rights.	E - Exact Match	
D306	Print Burial, Cremation, or Disinterment-Reinterment Permits with Authorization	Funeral home users may print burial, cremation, or disinterment-reinterment permits from the system only if authorized by the State or medical examiner.	W - Workflow or System Configuration Required	Add approval fields for each permit/document to be approved for printing, currently only
D307	Record Status	The record status shows the progress of a record and which funeral home it is owned by.	E - Exact Match	
D308	Attach Electronically-Signed Forms	Electronically-signed verification forms are attached to the death record.	E - Exact Match	
D309	Scan and Attach Paper Forms	Multiple paper forms and documents such as signed verification forms can be scanned and attached to a death record.	E - Exact Match	

Description: Sign certificate electronically with PIN (Box 10); Request screen (Box 11); Order copies (12); Is the medical certification complete?(Box 13); If yes, the record is registered and assigned a SFN/LFN (Box 14); If no, the user selects a medical certifier; a notification is sent that the record is ready for MC (Box 15)

Once the certificate is signed electronically with the user's PIN, the user may access the request screen and order copies of the death certificate. When this happens, the system checks to see if the medical certification is complete. If the medical certification is complete, the record is registered and assigned a State File Number (SFN) and a Local File Number (LFN). If the medical certification is not complete, the user must select a medical certifier to complete the medical information.

The funeral director may request a cremation permit electronically and queue it for the medical examiner to review. All cremation permits must be denied or approved and signed by the medical examiner.

The system prompts the funeral home to enter the number of copies that need to be printed after the record has been registered. Veteran copies can also be ordered online by the funeral home. Funeral homes may request certified copies either from the county of death or from the State.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D310	**Electronic Signatures**	Please refer to the General Requirements section S - Electronic Signatures for all rules related to electronic signatures.		
D311	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
D312	**Ready-to-Sign Queue**	The system provides a queue for all records that are ready to sign at the funeral home.	E - Exact Match	
D313	**Medical Certifier Queue**	Once a medical certifier is assigned, the record is queued for the medical certifier.	E - Exact Match	
D314	**Pending COD/Manner of Death Queue**	The system provides a work queue of all records for a given funeral home that have a "pending COD" and/or "pending manner of death."	E - Exact Match	
D315	**View Status of Medical Information**	After the personal information has been completed, the user can easily see whether the medical portion has been certified.	E - Exact Match	
D316	**Assign Medical Certifier**	The system allows the user to assign a medical certifier, if known.	E - Exact Match	
D317	**Medical Certifier List**	The system provides the user with a State-defined list of medical certifiers.	E - Exact Match	
D318	**Funeral Home Still Tracks Record**	Funeral homes can review all records that have been submitted to a medical certifier which have not yet been completed and submitted to the State.	E - Exact Match	
D319	**Read Receipt for Messages**	The system generates read receipts when the medical certifier has opened a message notifying them of a pending record in their queue.	M - Modify	We would need some sort of change to the core system or the read receipt on their email
D320	**Read Receipt for Viewing Records**	The system generates a read receipt when the medical certifier has opened and viewed the death record.	W - Workflow or System Configuration Required	Have to add code/edits to generate an email notice that the record was opened by certifier
D321	**Update Case Status**	When the case is queued for signature, the case status is updated in the system to "Active - Ready to be Signed" or an equivalent meaning.	E - Exact Match	
D322	**Funeral Director Access**	The system allows any licensed funeral director to electronically sign records for the funeral home(s) with which s/he is associated.	E - Exact Match	
D323	**Funeral Director Attestation Message**	Prior to certification, a State-defined message appears on screen, asking the user to attest to the accuracy of the documents to be signed.	E - Exact Match	
D324	**Display Signature Confirmation**	The system informs the user of the successful completion of the signature.	W - Workflow or System Configuration Required	Add a message notifying of signature
D325	**Ability to Unsign a Signed Record**	The system provides the ability for the original signatory to unsign the personal information section, correct an error, and resign the record before it is submitted for registration.	E - Exact Match	

D326	**Quick Login Process for Signer**	In cases where the user logged on is not the certifier, the system provides a method to quickly and easily access the signature login screen by the authorized signer to sign the personal information section.	E - Exact Match	We use a PIN number
D327	**Once Signed, Revert to Original User**	Once the personal information section is signed by an authorized user, the system logs off the signer and reverts back to the login privileges of the user who was originally logged in.	W - Workflow or System Configuration Required	We can use security to stop user from updating record once PIN is validated; we cannot close record and revert to home screen
D328	**Set Case Status**	The systems sets the record status to "Active - Demographics Signed" or its equivalent once the demographic information section has been signed.	E - Exact Match	
D329	**Fact of Death File**	The record is ready for export as soon as the demographic information is certified by the funeral home.	E - Exact Match	
D330	**Submit to State**	Once a record has been certified by both the funeral home and medical certifier, the system submits the record to the State.	W - Workflow or System Configuration Required	Some states register record w/o state intervention, so we do this but it's configured
D331	**Confirmation Message**	The user receives a confirmation message that the record has been submitted and no further action is required.	W - Workflow or System Configuration Required	Add message pop up edit to screen
D332	**Request Certified Copies**	The system allows funeral homes to request certified copies of the death certificate from the State or County.	E - Exact Match	
D333	**Designate Certified Copies**	When requesting certified copies, the funeral home designates a method of delivery (such as mail or a pickup location).	E - Exact Match	
D334	**Provide Mailing Address**	If the funeral home indicates that certified copies are to be mailed, the funeral home enters the mailing address of the recipient.	E - Exact Match	
D335	**Capture Distribution Information**	The system allows a funeral home user to select multiple distribution methods within a request for certified copies.	E - Exact Match	
D336	**Select Location to Pick Up Copies**	The system provides the ability for a user to indicate the location of the office they would like to pick up certified copies at.	E - Exact Match	
D337	**Apostille at State Only**	Certified copies with an apostille may only be requested from the State.	E - Exact Match	
D338	**Message Funeral Home**	A message is sent by the system to the funeral home when the request for certified copies is filled.	E - Exact Match	
D339	**Veteran Copies**	Veteran copies of death records include the watermark "for government use only."	E - Exact Match	
Additional Rules for Cremation Permits				
D340	**Submit Request to Medical Examiner**	The system includes the ability for a funeral home to submit an electronic request to a State medical examiner for a cremation permit.	E - Exact Match	
D341	**Rush to Burial**	The system provides a way for death record requests to be rushed for religious reasons. The death record includes a "rush to burial" checkbox, which places the record in the Rush To Burial Queue.	E - Exact Match	This has been configured before for other clients
D342	**Rush to Burial Queue**	Death certificates that have the "rush to burial" checkbox selected go into the Rush Burial Queue.	E - Exact Match	
D343	**Cremation Permit Rush**	If the "rush to burial" checkbox is selected and "cremation" is selected as the method for disposition, an alert is sent to the ME to notify them of the rush-approval needed on the cremation permit.	E - Exact Match	This has been configured before for other clients

D344	**Alert County ME of Cremation Permit Rush**	If the request for a cremation permit within a rush order falls on a weekend (defined as Saturday and Sunday), the system alerts the OCME as well as the ME from the county where the death occurred.	W - Workflow or System Configuration Required	Have to add edit to send email alert
D345	**Non-Contagious Letter for Out-of-Country Transport**	The system can generate and print a non-contagious disease letter for transporting bodies out of the country.	E - Exact Match	
D346	**Certify Non-Contagious Letter**	The non-contagious disease letter must be certified by a medical examiner, State epidemiologist, county health officer, or other State-defined users.	E - Exact Match	
D347	**Embalmer's Affidavit for Out-of-Country Transport**	The system can generate and print an embalmer's affidavit for transporting bodies out of the country.	E - Exact Match	
D348	**Pending Queue - FH**	The system provides a queue, for funeral homes, of cremation permit requests that are pending approval.	E - Exact Match	
D349	**Pending Queue - Medical Examiner**	The system provides a queue, for medical examiners, of cremation permit requests that are pending approval.	E - Exact Match	
D350	**Medical Examiner Refuses Permit**	The system provides the ability for medical examiners to refuse a cremation permit request.	E - Exact Match	
D351	**Refused Permits**	Once a cremation permit has been refused, the system does not allow another OCME or county ME to sign the permit.	W - Workflow or System Configuration Required	Have to add some edits surrounding this
D352	**Leave Queue**	The system removes a record from the pending queue once the cremation permit is approved.	E - Exact Match	
D353	**Medical Examiner Views Death Certificate**	The system allows the medical examiner to see the death certificate so that s/he can authorize the cremation permit.	E - Exact Match	
D354	**Medical Examiner Verifies Death Certificate**	Prior to signing the cremation permit, the system must verify the following fields with soft edits: name of decedent, pronouncing physician signature, certifying physician signature, name and title of certifying physician, date certified, date of death, time of death, date pronounced, cause and manner of death, medical examiner referral (if referred).	E - Exact Match	
D355	**Medical Examiner Electronically Signs Cremation Permit**	The medical examiner electronically signs the cremation permit.	E - Exact Match	Flag field to sign
D356	**Cremation Permit Fee**	The system has the ability to collect a State-defined fee for a cremation permit.	W - Workflow or System Configuration Required	CAS
D357	**Private Autopsy**	The system has a manner for indicating that the decedent's family has requested a private autopsy.	W - Workflow or System Configuration Required	Add field and edits
D358	**Capture Autopsy Information**	If "private autopsy" is selected, the system provides fields for an authorized user to enter information regarding the autopsy. Information captured is State defined.	E - Exact Match	
D359	**Scan and Attach Autopsy Documents**	The system allows an authorized user to scan and attach autopsy documents to a record.	E - Exact Match	
D360	**Disallow Cremation Permit if "Private Autopsy" Indicated**	If "private autopsy" is selected, the system does not allow the medical examiner to authorize the cremation permit until a funeral director attests to the completion of the autopsy.	W - Workflow or System Configuration Required	Add edits

D361	**Funeral Director Attests to Completion of Private Autopsy**	The system provides a method for the funeral director to attest to the completion of a private autopsy.	W - Workflow or System Configuration Required	Add field to attest and edit
D362	**Authorization for Disposition After Autopsy**	Once the autopsy is completed, the system requires the signature of a medical certifier on an Authorization for Disposition.	W - Workflow or System Configuration Required	Add field to verify the certifier signed permit
D363	**Alert to Original Medical Certifier on Record**	If the autopsy was not initiated by the original medical certifier on record, the system sends an alert to the original medical certifier once the autopsy is completed.	W - Workflow or System Configuration Required	Add field and edits to trigger email to certifier
D364	**Medical Examiner Prints Cremation Permit**	The system allows the medical examiner to print cremation permits.	E - Exact Match	
D365	**Print Cremation Permit**	Once the medical examiner has electronically signed the cremation permit, it is queued for the funeral home to print.	E - Exact Match	
D366	**Turn On and Off Printing Ability**	The system allows the State to turn on and off the ability for a system user to print a cremation permit.	E - Exact Match	Based upon user group previledges
D367	**Authority to Print Cremation Permit**	Cremation permits may be printed by authorized users at any funeral home who owns or has access to the record.	E - Exact Match	
D368	**Permit Includes SFN and LFN**	Cremation permits include the file date and SFN and LFN.	E - Exact Match	
D369	**Leaves Queue**	Once the cremation permit has been printed, it leaves the funeral home's Pending Queue.	E - Exact Match	
D370	**Control Number**	The cremation permit has a unique number assigned by the system to link it to the death certificate. These numbers are different from the case number and the state file number.	E - Exact Match	
D371	**Unlimited Number of Copies**	The system allows an unlimited number of copies of a cremation permit to be printed.	E - Exact Match	
D372	**Link Permit Information to Record**	Printing of the cremation permit may be captured in the document history and linked to the death record.	E - Exact Match	
D373	**Update Death Certificate with Permit Information**	Document history for cremation permits may include key information regarding the printing of the permit such as, but not limited to, number of times it has been printed for this case, who is involved in the print request, and cremation authorization number.	E - Exact Match	

Description: Record queued for MC (Box 16); MC accesses queue (Box 17)

If the medical certifier is a system user, the record is queued for the medical certifier. When the medical certifier logs into the system, the system displays the records queued for review.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D374	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
D375	**Query and Rejection Cycle**	Please see Query and Rejection Cycle business rules, regarding rules related to rejection and corrections of the system records.		

Additional Rules for Rejecting

D376	**Capture Reason for Rejection**	The system requires a user to enter, in a text open field, the reason(s) why a record has been rejected back to a funeral home.	E - Exact Match	
Additional Rules for Notifications				
D377	**"Out-of-Office" Notification with Forwarding Ability**	If the medical certifier is out of the office for an extended period of time (e.g. vacation, illness), s/he has the ability to attach an "out-of-office" notification to his/her system mail box and provide a forwarding authority.	M - Modify	Currently we do not have this ability in the application, instead we are using the alternate certifier checkbox and fields to choose
D378	**Acknowledgement of "Out-of-Office" Notification**	The system acknowledges the "out-of-office" notification and automatically forwards the message to the authority delegated by the absent certifier.	M - Modify	Currently we do not have this ability in the application, instead we are using the alternate
D379	**Queue for Delegated Authority**	Upon an "out-of-office" delegation, any record that is queued for the absent certifier is forwarded to the delegated authority.	M - Modify	Currently we do not have this ability in the application, instead we are using the alternate
D380	**Date and Time Stamp When Sent to Delegated Authority**	The system automatically date and time stamps a record that is forwarded to a delegated authority.	M - Modify	Currently we do not have this ability in the application, instead we are using the alternate
D381	**Notify Funeral Home if Record Not Accessed**	The system notifies the funeral home if the medical certifier does not access the record within a State-defined, pre-established time frame.	W - Workflow or System Configuration Required	We can put these records into a work queue which collects records not certified medically
D382	**Indicate That Notification Was Sent**	The system indicates in the death record that a notification was sent to the medical certifier and the date that the message was sent.	E - Exact Match	If an email is sent to a certifier or FH then the date message was sent is recorded in record

Description: M.C. completes medical information and enters PIN (Box 18) Then the record is registered and assigned SFN (Box 14)

The medical certifier reviews the records in the queue to determine if s/he is the most appropriate person to complete the medical information, including the COD. If the medical certifier determines that s/he is the most appropriate person to complete the medical information, s/he enters that information into the record. While medical staff may be authorized to enter the medical information, only the medical certifier may certify the medical information. The system authenticates that the user is the medical certifier who is authorized to certify the medical information. Once the user has been authenticated, the medical certifier enters the medical information and the system runs the medical edits. Suggested spelling, full spelling of abbreviations, and other suggestions are displayed and the information is corrected. Edit checks are re-ran until there are no errors within the record. The certifier electronically signs the death certificate.

If the medical certifier believes that s/he is not the most appropriate person to certify the medical information, s/he notes the record accordingly. The medical certifier may choose to send the record back to the funeral home or forward it to another medical certifier. The medical certifier may alternatively decide that the case should be reviewed by a medical examiner and to forward the record. The medical certifier is required to submit a case to a medical examiner if the COD is suspected of being non-natural. The record is queued accordingly. The system sends notifications to the appropriate user, indicating that there are records pending for review, and to the funeral home, indicating that the record has been refused by a medical certifier and forwarded to another medical certifier or medical examiner.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D383	**Exports and Imports**	Please see General Requirements, section AA - Exports and Imports, for rules on imports and exports.		
D384	**Specific Exports and Imports**	Please see General Requirements, section BB - Specific Exports and Imports, for rules on imports and exports.		
D385	**Time Period for Certifying Medical Information Rules**	Please see Time Period for Certifying Medical Information rules in the alternative flow at the end of the Death rules.		
D386	**Registration**	See the Registration business rules for all rules related to the registration of a death record.		
Additional Rules for Entering Medical Information				
D387	**Complete Medical Information Fields**	The user may complete the medical information fields at the time they start the record, if they have the correct role and profile to do so.	E - Exact Match	

D388	**Medical Certifiers Sign for Each Other**	All medical certifiers within the same facility may certify records for one another. The system captures the information for the medical certifier who certifies the record.	E - Exact Match	
D389	**Entering Medical Information**	The medical information may be entered by someone other than the medical certifier, based on roles and profiles.	E - Exact Match	
D390	**Edit Medical Information While Another User is in Record**	The system allows a medical certifier to log into the system, while another user is in the record, to review and edit the medical information.	E - Exact Match	
D391	**Medical Certifier Access**	The system allows a medical certifier to electronically sign records with which s/he is associated.	E - Exact Match	
D392	**Medical Certifier Attestation Message**	Prior to certification, a State-defined message appears on screen, asking the user to attest to the accuracy of the document being signed.	E - Exact Match	
D393	**Return to Original Profile**	Upon completing the certification and electronically signing the record, the system returns to the original user's profile.	M - Modify	System does not automatically close record, user must close record
D394	**Fields and/or Screens Dynamic Based on Cause**	The medical information fields are dynamic based on the COD. For example, if a medical certifier is logged on and indicates that the cause is "natural," all fields related to "injury" are disabled or not displayed. Conversely, if the medical certifier indicates the cause is "accidental," all fields related to "injury" are available to the user.	E - Exact Match	
D395	**Override Date of Death**	A medical certifier can override the "date of death" entered by the Funeral Home.	E - Exact Match	
D396	**Send Case to Medical Examiner**	When a medical certifier selects certain State-defined manners of death, such as non-natural, suicide, or homicide, the system locks the medical information fields and a message tells the user that the record needs to be assigned to a medical examiner.	E - Exact Match	
D397	**Medical Certifier Cannot Change Medical Examiner Data**	A medical certifier cannot change any medical information entered by a medical examiner.	W - Workflow or System Configuration Required	Have to add edits to not allow certifier to change fields entered by ME
D398	**Prompt to Verify Date and Time of Death**	If the date of death or time of death have previously been entered by someone other than the medical certifier, the system prompts the medical certifier to verify the information that was previously entered.	W - Workflow or System Configuration Required	Add edit to force verification
Additional Rules for Entering COD				
D399	**CDC COD Standards**	The system fires edit checks to ensure that the immediate and underlying COD are compatible and in the correct order, based on CDC COD standards.	E - Exact Match	
D400	**NCHS COD Coding**	The system conforms to NCHS COD coding rules.	E - Exact Match	
D401	**Error Message for COD**	The system alerts the user with a pop-up message when the cause-of-death edits fire, asking the user to correct any errors found.	E - Exact Match	
D402	**COD May NOT be from Pick List**	COD information is NOT entered from a pick list. The medical certifier enters the information by typing the causes associated with the death.	E - Exact Match	
D403	**Link to General Instruction Screen for COD**	When the COD section of the electronic death certificate is open, a link appears for a user to click on to take them to a general instruction screen with information per the NCHS Recommendations for Entry of COD.	E - Exact Match	

D404	**Support Interactive Entry of COD**	The system supports the interactive edits during COD entry that conform to the standards established by NCHS for COD entry in an automated environment.	E - Exact Match	Most of this is also handled with VIEWS II in addition to edits built into the application
D405	**Provide Prompts When Abbreviations are Entered**	If the medical certifier enters an abbreviation in a COD field, the system issues a message with the fully written-out cause and allows the medical certifier to select the terminology suggested to clarify the abbreviation, or to enter a new cause.	E - Exact Match	Most of this is also handled with VIEWS II in addition to edits built into the application
D406	**"Vague" Causes of Death Rejected**	If a COD entry matches an entry in the "Vague" table as insufficient or too vague, the system generates a prompt indicating that further information is needed.	E - Exact Match	Most of this is also handled with VIEWS II in addition to edits built into the application
D407	**Rare Causes**	If a COD entry matches an entry in the "Rare" table, the system displays a message indicating that the State requests verification of the COD entered.	E - Exact Match	Most of this is also handled with VIEWS II in addition to edits built into the application
D408	**Unlikely Underlying Causes**	The system includes an edit that flags unlikely underlying causes of death (per the NCHS recommendations for entry of COD), if one is reported on the lowest entered line.	E - Exact Match	Most of this is also handled with VIEWS II in addition to edits built into the application
D409	**Flagged Underlying Causes Generates Error Message**	A flagged underlying cause generates an error message box, stating that the underlying cause indicated is normally a complication of a more specific condition, and asking the medical certifier to enter a more specific condition.	E - Exact Match	Most of this is also handled with VIEWS II in addition to edits built into the application
D410	**Flag Unacceptable Causes**	The system has an edit that flags unacceptable causes, if they are the only cause reported or are reported on the lowest line of the certification.	W - Workflow or System Configuration Required	Add flag and edit
Additional Rules for Referring to Medical Examiner				
D411	**Medical Certifier Sends Case to Medical Examiner**	The assigned medical certifier can refer a case to a medical examiner, provided that the case has not previously been reviewed by a medical examiner.	E - Exact Match	
D412	**Note Medical Examiner Refusal in Record**	If the medical examiner refuses a case that is referred, the system documents in the record that the medical examiner was contacted and refused the case.	E - Exact Match	
D413	**Refer to Medical Examiner**	If a record has been referred to a medical examiner, any medical information previously entered by a medical certifier will be removed from the record but saved in the document history.	W - Workflow or System Configuration Required	
D414	**Refer Registered Record to Medical Examiner**	Once a death record has been registered, it may only released to a medical examiner by an authorized State user.	W - Workflow or System Configuration Required	

D415	**Medical Examiner Cases**	or from an injury, in addition to all of the following circumstances: 1) A person dies without benefit of having a pre-existing patient relationship to a treating physician; 2) A person who is in apparent good health and dies suddenly when there is no history or other reliable evidence of serious natural disease, or other circumstance, so as to be able to reasonably assume death due to natural causes; 3) Any death of an inmate in a public institution such as a jail dies while in the institution, or while in police custody, during police intervention, during court-ordered hospitalization, or when the death is believed to be due to, or in association with failure to receive code mandated public services provided by county, state or federal social service agencies; 4) A person dies due to, or in association with, environmental conditions suspected to pose a hazard to public health or safety; 5) A person dies due to, or in association with, violence, suspected violence, or by any suspected external cause, regardless of the interval between the injury and death; or 6) A person dies under any suspicious conditions, or in any unusual or unnatural manner.	E - Exact Match	These are business rules/training criteria
D416	**Medical Examiner Status Code**	If the case is referred to the medical examiner, the case status is updated to "Active-Assigned to medical examiner " or equivalent.	W - Workflow or System Configuration Required	There is a field ME notified but if status field changes must be built into applicatoin
D417	**Medical Certifier Assists Medical Examiner with Review**	The medical certifier referring the case can enter information in a text field to assist the medical examiner in making a determination as to whether the medical examiner takes jurisdiction of the case.	E - Exact Match	
D418	**Ownership Change**	In the event that the medical examiner takes the case, the ownership of the medical information changes to the medical examiner.	E - Exact Match	
D419	**Notification of Case Referral**	If a medical certifier refers a case to a medical examiner, a notification is sent to the medical examiner and the funeral home, and the record is queued for the indicated person (e.g., medical examiner).	E - Exact Match	
D420	**Capture Date and Time Sent to Medical Examiner**	The system automatically captures the time and date that a record is sent to a medical examiner who is a system user.	E - Exact Match	
Additional Rules for Declining to Certify				
D421	**Decline to Certify**	If the medical certifier declines to certify, the system does not allow the user to enter any information into the medical information section.	E - Exact Match	
D422	**Decline to Certify - Reason Pick List**	If the medical certifier declines to certify, the system provides the user with a State-defined selectable list of reasons, including "other," as to why s/he is declining to certify; the user selects a reason prior to forwarding the record. If "other" is selected, a text box opens for the medical certifier to explain why s/he has declined.	E - Exact Match	
D423	**Reassign Medical Certifier**	If a medical certifier declines to certify a record, s/he may reassign the case to another medical certifier.	E - Exact Match	
D424	**Capture Date and Time of Reassignment to Another Medical Certifier**	The system automatically captures the time and date that a record is reassigned to another medical certifier.	E - Exact Match	

Additional Rules for Edits				
D425	**Interfaces**	Please see the General Requirements section J - User Interface for all rules related to interfaces.		
D426	**Identify and Correct Errors**	Hard edit errors are identified and corrected prior to certifying the COD.	E - Exact Match	
D427	**Run NCHS Edits**	Once the medical data is entered, the system automatically runs the NCHS edits against the record.	E - Exact Match	
D428	**COD Edits Run Against SuperMICAR Dictionary**	The COD edits include running the data against the SuperMICAR dictionary for checking spelling and terminology.	W - Workflow or System Configuration Required	Most of this is also handled with VIEWS II in addition to edits built into the application
D429	**Manner and Cause**	There are cross-field edits between the manner of death and the cause of death.	W - Workflow or System Configuration Required	Most of this is also handled with VIEWS II in addition to edits built into the application
D430	**Immediate and Underlying**	There are cross-field edits between the immediate cause of death and the underlying cause of death.	W - Workflow or System Configuration Required	Most of this is also handled with VIEWS II in addition to edits built into the application
D431	**Ability to De-Select NCHS Edits**	The system provides the functionality for the State to de-select one or multiple NCHS edits.	E - Exact Match	
D432	**Allow for State-Specific Edits**	The system edit checks allow for the incorporation of State-specific edits.	E - Exact Match	
D433	**Edit Sets Depend on Type of Entry**	The system accommodates differences in the edit sets that run when a record is entered by a medical certifier (potentially more strict), versus edits that run when medical information is typed at the State after the medical certifier has completed a form (drop-to-paper or fully-paper methods, where only a few types of edits would cause a rejection).	E - Exact Match	
D434	**Soft Edits on COD**	If a soft edit is displayed on the COD field and the user does not change the response after the message, the user enters an explanation in a comment field.	E - Exact Match	
D435	**Spell-Check for Medical Terms**	The system interfaces with Views 2 to check spelling of medical terms.	E - Exact Match	
D436	**Record Status**	When the record has completed the edit check, the status of the record changes to "Active - ready to certify" or equivalent.	E - Exact Match	
Additional Rules for Signatures				
D437	**Electronic Signatures**	Please refer to the General Requirements section S - Electronic Signatures for all rules related to electronic signatures.		
D438	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
D439	**Ready-to-Sign Queue**	The system provides a queue for all records that are ready to sign.	E - Exact Match	
D440	**Auto-Populate Medical Certifier Information**	The system auto-populates the medical certifier information (name, address, license number and other State-defined data) and date certified once the user has electronically signed the record.	E - Exact Match	
D441	**Update Case Status**	When the case is queued for signature, the case status is updated in the system to "Active - Ready to be Signed" or equivalent meaning.	E - Exact Match	

D442	Medical Examiner May Sign	The system allows any licensed medical examiner to electronically sign records for the facility with which s/he is associated.	E - Exact Match	
D443	Display Signature Confirmation	The system informs the user of the successful completion of a signature.	W - Workflow or System Configuration Required	Currently no notification; have to add edit to display message
D444	Ability to Unsign Signed Record	The system provides the ability for the original signatory to unsign the medical information section, correct an error, and resign the record before it is submitted for registration.	E - Exact Match	
D445	Once Signed, Revert to the Original User	Once the medical information section is signed by an authorized user, the system logs off the signer and reverts back to the login privileges of the user who was originally logged in.	M - Modify	Application does not currently log off anyone or close records
D446	Set Case Status	Set case status to "Active - Certified" or equivalent once the COD has been certified.	E - Exact Match	
D447	Display Confirmation Screen	The system requests a positive confirmation that the medical certifier wishes to certify the medical information prior to signing the record.	E - Exact Match	

Description: COD rapid reporting or violent death? (Box 19); Message sent to the State and county (Box 20)

If the COD needs rapid reporting, a message is sent to the addresses on file for that COD.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D448	Reportable COD	If the COD is considered a reportable condition, the system sends a notification to the appropriate location/registry. The notification contains the necessary decedent information to automatically update the location/registry.	E - Exact Match	
D449	State-Defined Reportable Causes in Rapid Reporting	The causes of death that are reportable using the rapid reporting feature are defined and managed by the State.	E - Exact Match	
D450	Occurrences Over Threshold	The system allows designated users to indicate additional causes of death which are reportable, based on a State-defined number of occurrences within a specified time period.	E - Exact Match	
D451	Multiple Locations	Each COD notification may be reported to multiple locations, users and/or registries at the State.	E - Exact Match	

END OF START A DEATH RECORD AT A FUNERAL HOME

BUSINESS PROCESS: MEDICAL CERTIFIER STARTS THE RECORD

A death occurs, the medical certifier logs into the system and enters the minimal demographic information to start the record. The medical certifier completes the medical information and certifies the record. If the medical certifier knows the funeral home s/he may select the funeral home and the record is queued for the funeral home. If in the time it took for the medical certifier to complete his/her portion of the record the funeral home completed the demographic information, the record is released to the state for registration.

If the medical certifier knows the funeral home the record will be queued for the funeral home. The funeral home will complete the demographic portion of the record and certify it.

If the medical certifier does not know the funeral home s/he may leave the demographic portion blank and only the medical portion of the record is certified and submitted. Once the funeral home has been chosen, the funeral home can search for the record and complete the demographic portion.

Description: Death occurs (Box 1); M.C. logs into EVRS (Box 2); Complete minimal demographic information (Box 3)

A medical certifier may start a record in the system. S/he logs in and completes the minimal demographic information in order to start the record.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D452	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
D453	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
D454	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
D455	**Search Rules**	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
D456	**Medical Certifier Completes Minimal Demographic Information Rules**	Please see the Start a Death Record at a Facility rules above, Box 3, for all rules related to completing minimal demographic information.		

Description: M.C. completes medical information and certifies (Box 4)

Medical information and cause of death are completed by the medical certifier.

Please note: All the rules regarding entering, editing and certifying medical information and cause of death as defined in previous flows apply to this

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D457	**Medical Certifier Completes Medical Information Rules**	Please see the Start a Death Record at a Facility rules, Box 6, and Start a Death record at a Funeral Home rules, Box 17, for all rules related to the Medical Certifier completing medical information and cause of death.		

Description: Demographic certification complete? (Box 5); If yes, Record is registered and assigned SFN (Box 6).

The medical certifier completes the medical information and submits to State. If the medial certifier does not know the funeral home the medical section is the only portion of the record that submits to State. The demographic information for the record is completed by the funeral home once one is assigned.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D458	Demographics Complete	If the demographic has already been signed by the funeral home, certification of the record automatically submits the record.	E - Exact Match	
D459	Notice of Submission	The system sends a message to the user that the record has been submitted that requires no action.	W - Workflow or System Configuration Required	Add edit to send email

Description: Funeral Home known? (Box 7); If the funeral home is not known, Queue record as pending for facility (Box 8); If the Funeral Home is known, Queue the record for the Funeral Home (Box 9)

If the funeral home is known, the medical certifier will select the proper location. For funeral home system users the record will be found in the appropriate queue when the funeral home user logs on.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D460	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
D461	Assign Funeral Establishment	The user may assign a funeral home, if one is known when the record is started.	E - Exact Match	

D462	Funeral Home Queue	Once a funeral home is assigned the record should queue for the funeral home.	E - Exact Match	

END OF MEDICAL CERTIFIER STARTS THE RECORD

BUSINESS PROCESS: MEDICAL EXAMINER STARTS A DEATH RECORD

A death occurs. The medical examiner is contacted to investigate the death. Once the Authorization for Disposition is completed, the medical examiner decides whether or not to investigate the death. If the medical examiner decides that an investigation is not warranted, s/he must state why. The facility is notified that the record can be signed by a medical certifier.

If the medical examiner decides to investigate the case, s/he will log into the system and start the record with minimal information (if that has not already been done to start the Authorization for Disposition). The medical examiner has a two options from here:

1. The medical examiner completes the entire record;
2. The medical examiner completes the medical portion of the record and queues the record for the funeral home;

Description: Death occurs (Box 1); Requires medical examiner? (Box 2); Contact medical examiner (Box 3)

For deaths that must be referred to the medical examiner, the medical examiner is contacted.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D463	Medical Examiner May Start Record	Medical Examiners may start a record.	E - Exact Match	
D464	Medical Examiner Notified of Death	(usually a physician or facility) requests that a medical examiner investigate a death.	E - Exact Match	
D465	Medical Examiner Changes Demographics	The medical examiner can change demographic information entered by the owner of the demographic portion of the record.	E - Exact Match	
D466	Name for Presumptive Deaths	The State or the medical examiner enters names on death records for presumptive deaths.	E - Exact Match	

Description: Death outside facility? (Box 4); Print and/or complete Authorization for Disposition (Box 5)

If death occurs outside of a facility, the medical examiner may be responsible for the Authorization for Disposition. The medical examiner logs into the system, starts a record by entering the required minimal demographic information, and completes and prints the Authorization for Disposition. The Authorization for Disposition is queued for the medical examiner and the funeral home, once a funeral home has been identified.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D467	User Log In	Please see the General Requirements section B -User Authentication for rules related to user log in.		
D468	User Profiles	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
D469	Record Ownership and Access	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
D470	Search Rules	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		

D471	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
D472	Medical Examiner Completes Minimal Demographic Information Rules	Please see the Start a Death Record at a Facility rules above, Box 3, for all rules related to completing minimal demographic information.		
D473	Funeral Home Prints Authorization for Disposition	Please see the Start a Death Record at a Funeral Home rules above, Box 1, for all rules related to the funeral home printing the Authorization for Disposition.		
D474	Allow Funeral Home to Print Authorization for Disposition	The system allows an assigned funeral home the ability to print a Authorization for Disposition.	E - Exact Match	
D475	Medical Examiner Electronically Signs Authorization for Disposition	The system allows the medical examiner to electronically sign the Authorization for Disposition.	E - Exact Match	Flag field to sign
D476	Scan and Attach Signed Authorization for Disposition	The system allows a medical examiner to scan and attach the Authorization for Disposition to the record once a computer is available.	E - Exact Match	

Description: Investigate case? (Box 6); If investigation is not needed, notify facility (Box 7); Facility or funeral home starts record (Box 8)

If no investigation is required, the medical examiner notifies the facility or funeral home so that they may start the case as described above.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D477	Medical Examiner Refuses Case	If the medical examiner is informed about a death but chooses not to accept the case, it is noted in the record and the system sends a message to the system user that requested the investigation.	E - Exact Match	
D478	Reason Code When Medical Examiner Refuses Case	The system ensures that the medical examiner selects a reason from a pre-defined list that includes "other" when s/he chooses not to accept a case that has been referred.	E - Exact Match	
D479	State-Defined Reason Codes	The reason that the medical examiner selects when refusing a case is from a State-defined list.	E - Exact Match	
D480	Explanation Text Field	The system provides the ability for the medical examiner to enter notes in an explanation text field before refusing a case.	E - Exact Match	
D481	Select Medical Certifier	The system allows a medical examiner to select a medical certifier when s/he refuses a case.	E - Exact Match	
D482	Redirect Case Refused by Medical Examiner	When a record is not accepted by the medical examiner but also not forwarded to another medical certifier, the record is queued for the funeral home director to redirect it to another medical certifier.	W - Workflow or System Configuration Required	Add a work queue
D483	Queue for Records Sent to Medical Examiner	The system provides work queues for facilities for records that have been referred to the medical examiner.	W - Workflow or System Configuration Required	Add a work queue

Description: Medical examiner logs into EVRS and starts record (Box 9); Complete minimal demographic information (Box 10)

The Medical examiner logs into the system and enters the minimal demographic information required to start a record.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D484	Medical Examiner Completes Minimal Demographic Information Rules	Please see the Start a Death Record at a Facility rules above, Box 3, for all rules related to completing minimal demographic information.		

D485	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
D486	**Complete Pending Authorization for Disposition**	The system allows role-defined users to access an incomplete Authorization for Disposition and fill in remaining the information.	E - Exact Match	
D487	**Active Record Queue**	The system provides work queues for medical examiners for active records.	E - Exact Match	
D488	**Pending COD Queue**	The system provides work queues for medical examiners for records that have a pending COD.	E - Exact Match	
D489	**Cremation Permit Queue**	The system provides work queues for medical examiners for cremations that are awaiting approval.	E - Exact Match	
D490	**Medical Examiner Views Death Certificate**	The system allows the Office of Chief Medical Examiner to see the death certificate so that the medical examiner can authorize the cremation.	E - Exact Match	
D491	**Medical Examiner Can View All Records**	The system allows a medical examiner to view all records for his/her county, records where his/her office is listed as the medical certifier, and records where his/her county is listed as the county of injury in a death record.	E - Exact Match	
D492	**County Medical Examiner Restricted View**	The system allows role-defined users to access an incomplete Authorization for Disposition and fill in remaining the information.	E - Exact Match	

Description: Medical Examiner completes entire record (Box 11); Certifies and submits to State (Box 12)

In some cases, the medical examiner will complete both the demographic and medical portions of the record.

Please note: All the rules regarding entering, editing and certifying the demographic and medical information as defined in previous flows apply to this process.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D493	**Medical Certifier Completes Medical Information Rules**	Please see the Start a Death Record at a Facility rules above, Box 4, for all rules related to the Medical Certifier completing medical information.		
D494	**Medical Examiner May View Entire Record**	The system allows a medical examiner to view the entire death record, regardless of his/her role in filing it.	E - Exact Match	
D495	**Medical Examiner Acting as Funeral Home**	If the medical examiner is acting as the funeral home, s/he can edit any part of the record.	E - Exact Match	
D496	**Medical Examiner Can Edit All Fields**	A medical examiner can edit any information in the medical portion of the death record.	E - Exact Match	
D497	**No Funeral Home Involved in Case**	If there is no funeral home involved in the case and the medical examiner is acting as such (e.g. in the case of an indigent person), s/he will complete and sign both the demographic and medical portions of the record and submit it to the State.	E - Exact Match	
D498	**Protect Medical Information and Signature Fields**	If a medical examiner or deputy medical examiner is assigned to a case, the system prevents anyone else from entering the cause(s) of death and signing the record as the certifier.	E - Exact Match	
D499	**Medical Examiner Accepts Case**	When a medical examiner accepts the case, the record ownership transfers to the medical examiner.	E - Exact Match	
D500	**Medical Examiner Acceptance Comments**	Upon accepting a case, the system provides an optional text field for the medical examiner to enter any acceptance comments.	W - Workflow or System Configuration Required	May need to add a comment field or the user can use the Notes feature

D501	**Medical Examiner Requests Control of Case**	Medical examiners may request control of a case at any time from the State.	W - Workflow or System Configuration Required	May need to change edits to allow this
D502	**Notify Medical Certifier if Medical Examiner Takes Control of Case**	If a medical examiner takes control of a case, the system notifies the previous medical certifier that s/he is being removed from the record.	E - Exact Match	An email sent to certifier
D503	**Lock Personal Information Section for Cases Completed by Medical Examiner**	When a medical examiner chooses to complete an entire death record, the personal information section is locked and not accessible to other users.	E - Exact Match	
D504	**Notify Funeral Director if Medical Examiner Takes Control of Case**	If a medical examiner takes control of a case, the system notifies the funeral director.	E - Exact Match	
D505	**Update Death Certificate Ownership Information if Medical Examiner Takes Control of Case**	The system replaces the prior medical certifier's information with that of the medical examiner, and the medical examiner becomes the owner of the case.	E - Exact Match	
D506	**Update Case Status if Medical Examiner Takes Control of Case**	The system updates the case status to: "Active - Under Medical Examiner Review."	W - Workflow or System Configuration Required	May have to change status field to reflect this verbiage
D507	**Forward to Medical Examiner**	If a record is certified by the medical certifier but has not been registered, the State can forward the record to the medical examiner.	E - Exact Match	
D508	**Clear Fields**	In cases where the State has forwarded a record to a medical examiner, the original field entries are maintained in the history but the fields are cleared for the medical examiner.	W - Workflow or System Configuration Required	Add edit to clear fields; use the auditlog to view original data of fields
D509	**Provide Field to Enter Medical Examiner Case Number**	The system provides the user with a field to enter the medical examiner case number that corresponds to the decedent record.	E - Exact Match	
D510	**State-Defined Fields for Medical Examiners**	Medical Examiner records have State-defined fields.	E - Exact Match	

***Description:* Medical Examiner completes medical information and certifies (Box 13); Queue record for funeral home (Box 14)**

The medical examiner (or authorized staff) enters the medical information in the electronic record. While authorized users may enter the medical information, only the medical examiner may certify the medical information. The system authenticates that the user is the medical examiner who is authorized to certify the medical information. Once s/he has been authenticated, the medical examiner certifies the medical information and electronically signs the death record. The record is then queued for the funeral home.

Please note: All the rules regarding entering, editing and certifying medical information as defined in previous flows apply to this process.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D511	**Medical Examiner Completes Medical Information Rules**	Please see the Start a Death Record at a Funeral Home rules above, Box 17, for all rules related to the Medical Examiner completing medical information.		
D512	**Pending COD**	A medical examiner may designate "Pending COD" in a record if the COD is unknown or pending investigation.	E - Exact Match	
D513	**Pending Manner of Death**	A medical examiner may designate "Pending Manner of Death" in a record if the COD is unknown or pending investigation.	E - Exact Match	
D514	**Medical Examiner Overrides Previous Medical Information**	A Medical Examiner may override medical information previously entered by a medical certifier.	E - Exact Match	
D515	**Medical Examiner Report on Manners of Death**	The system provides the medical examiner the ability to view/print, for a specified date range, a report of all cases with State-specified manners of death.	W - Workflow or System Configuration Required	Create report to pull records with specified manners of death

D516	Send Notification to Funeral Home	If the case was started in the system, an automatic notification is sent to the funeral home indicating that a record is in the pending queue.	E - Exact Match	
D517	Extract File from System	The medical examiner can extract a file of State-defined information for medical examiner death records from the system for import into the medical examiner system, in order to avoid duplicate data entry.	E - Exact Match	
D518	Deputy Medical Examiners	A medical examiner can designate another medical examiner (ex: deputy medical examiners or assistant medical examiners) to temporarily serve as backup for reviewing and signing cases.	E - Exact Match	
D519	Mobile Device	The system allows an authorized user (ex: medical examiner) to send an Authorization for Disposition to a mobile device or Smartphone.	E - Exact Match	Can send a PDF to phone

Description: Medical Examiner queues record for MC and/or funeral home (Box 15)

The medical examiner also has the option of starting the record with minimal demographic information and queuing the record for the medical certifier and/or funeral home.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D520	Medical Examiner Forwards Case to Another Medical Certifier	If the medical examiner decides to forward the case to another medical certifier, the record is queued for the new medical certifier, and a notification is sent to the new medical certifier and the funeral home.	E - Exact Match	

END OF MEDICAL EXAMINER STARTS A RECORD

BUSINESS PROCESS: TIME PERIOD FOR CERTIFYING MEDICAL INFORMATION

The system must calculate the time it takes for the medical information in a death record to be certified. This time limit is State-defined and is reported on a regular basis to the medical certifier. Currently, the time limit for certifying a death record **is 24 hours after physician notification of the case.**

The system standard for reporting time will be in military time. An option exists in the system to avoid confusion by choosing midnight or noon instead of 0:00 or 12:00 hours. Military time is also used for approximate time of injury.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D521	Calculate Time for Death Certification	The system needs to calculate the time that it takes for a medical certifier to certify the medical portion of a death record.	E - Exact Match	Done based upon date email sent to notify certifier to the time the medical portion is
D522	Calculate Time for Death Certification by User	The calculation is based on the user.	E - Exact Match	
D523	Time Period State-Defined	The time period is State-defined.	E - Exact Match	
D524	Military Time	Time, for the purpose of tracking timeliness, is stored in military time.	W - Workflow or System Configuration Required	Currently we are only using date not time
D525	Calculate and Provide Notification	The system will calculate and provide notification "X" amount of time prior to expiration.	E - Exact Match	
D526	Time Period State-Defined by User Group	The calculation for determining if certification of medical information is within the time period is State-defined by user group.	E - Exact Match	
D527	Late Records	The system highlights in the pending queue, in a color defined by the State, records that have not been certified within the State-defined time period. Example color is red.	N- Cannot Meet	System does not highlight with colors

D528	Calculating Time for Certifying Medical Information	The calculation for the 24 hours to certify the medical information begins from the moment the certifier is notified of the record to the moment the medical information is signed and submitted by the certifier. This formula necessitates accommodating various workflow scenarios. For example: a. Facility starts a record and then queues record for the MC. Notification = record in MC queue b. medical examiner starts the record. Notification = medical examiner starting record c. Funeral home starts the record. Notification = Funeral home submitting record to MC electronically.	E - Exact Match	
D529	Medical Certifier Queue Filter	The medical certifier queue has a filter to allow the user to see new records that are assigned to them.	E - Exact Match	The queue can be sorted based upon fields (columns)
D530	Filter Queue - State	The system allows an authorized State user to filter the pending queue to show only records that are late for medical certification based on State-defined fields.	W - Workflow or System Configuration Required	Can't do late and pending in the same queue but use two separate queues
D531	Filter Queue - Medical Certifier	The system allows a medical certifier to filter the pending queue to show only records that are late for medical certification based on State-defined fields.	W - Workflow or System Configuration Required	Can't do late and pending in the same queue but use two separate queues
D532	Notify Funeral Home if Record Not Accessed	The system notifies the funeral home if the medical certifier does not access the record within a State-defined, pre-established time frame.	E - Exact Match	We can use the late notice email which can be scheduled to run daily and will send out

END OF TIME PERIOD FOR CERTIFYING MEDICAL INFORMATION

BUSINESS PROCESS: NOT A MEDICAL EXAMINER CASE (NAMEC) - EMS PRONOUNCING ON SCENE

A death occurs. The Emergency Medical Services (EMS) are contacted to attend a patient outside of a facility. Once on scene, EMS determines that an individual has died and pronounce death. EMS user logs into the EVRS and enters minimal demographic information to start the death record and the pronouncement information into the cause of death section. EMS certifies the pronouncement of death. The record is assigned to the medical examiner.

Description: Death occurs (Box 1); EMS pronounces death (Box 2); EMS logs into EVRS (Box 3); Complete minimal demographic information and pronouncement information (Box 4); Assigns record to medical examiner (Box 5); Go to ME Flow

For deaths that occur once EMS is on scene, or if EMS is the first to arrive after a death has occurred outside of a facility, they are allowed to pronounce the date and time of death. The EMS user logs into the EVRS and enters minimal demographic information for the decedent. They also enter the pronouncement information in the cause of death section. After the record has that information, the EMS user will assign the record to the OCME. Go to ME flow.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
D533	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
D534	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
D535	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
D536	**Search Rules**	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
D537	**EMS Completes Minimal Demographic Information Rules**	Please see the Start a Death Record at a Facility rules above, Box 3, for all rules related to completing minimal demographic information.		

D538	**EMS User Access to EVRS**	EMS has limited roles in the EVRS. They can enter minimal demographic information and enter pronouncement information. They cannot certify COD. Those functions are locked to them.	W - Workflow or System Configuration Required	Have to configure group role and security for new user group
D539	**Assign Record to ME**	An EMS user can assign a record to the medical examiner.	W - Workflow or System Configuration Required	Will be based upon their role
D540	**Edits Around Pronouncing Death**	There are State-defined soft edits around entering the pronouncement information (e.g. date of death cannot occur after to the date of entry).	E - Exact Match	

END OF NOT A MEDICAL EXAMINER CASE (NAMEC) - EMS PRONOUNCING ON SCENCE

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E - Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

BUSINESS PROCESS: REGISTRATION OF VITAL RECORDS - Overview

All event records, with the exception of paternities and unattended home births, are registered upon submission of a complete record. A local file number (LFN) corresponding to the county of the event is applied to the record as is the state file number (SFN). Registered records are immediately available to the State and the county of the event; remaining counties have read-only access. The system must have the ability to register records automatically or queue them for review of exceptions prior to registration. The system must also provide the ability to turn on/off the automatic registration feature. Until such time as WV is ready to turn on the automatic registration of records, all records will be queued for review prior to registration. This ability must be configurable by the State and must be individual to each event and location.

Until such time as e-notary is recognized by WV, all birth records with a paternity must be reviewed by the State prior to registration. These records are queued for the State to review, accept and register or reject. Please see the paternity flow for the rules related to paternities.

All event records that are registered with soft edit exception flags are queued at the State by type of event and exception. These queues will be State defined. State staff will review and query these records as appropriate.

The user has the ability to electronically message a user through the system to query a record. The system will have the ability to reject records back to the author of the record; this function will be turned off when the automatic registration is turned on by event.

State users must have the ability to data enter any event record and then register the record.

BUSINESS PROCESS: STATE REVIEW OF REGISTERED RECORDS WITH EXCEPTIONS

The following flow is based on automatic registration of all birth, fetal death and death records. There are several exceptions to the automatic registration of records and those include births and fetal deaths with paternities, unattended home births, and foreign-born births. The process flow and rules for these records are included in the next business process flow.

Description: Registration user logs into EVRS (Box 1); Select queue to work from (Box 2)

The system user logs onto the system. The system authenticates the user and the privileges for the user. The main menu appears and allows the user to select the queue of work that s/he wishes to perform.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R1	**Registering a Record**	Please see the General Requirements section O - State File Numbers and Registration. All rules apply here.		
R2	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
R3	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
R4	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
R5	**Search Rules**	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
R6	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
R7	Automatic Registration	The system automatically registers a record with an exception.	***W - Workflow or System Configuration Required***	Depending on the exception, the record will register the record.
R8	Automatically Queue a Record	The system will automatically queue a record into the appropriate exception queue after registration.	***E - Exact match***	State defined queues contain records dependent on the criteria set up.
R9	Queues Sortable	All queues are sortable by State defined criteria, which will include originator (individual or facility), county, and submission date.	***E - Exact match***	All queues are sortable by clicking on a column header.
R10	Incomplete Records Visible to State	Any record that has been initiated by a user, facility, or a county may be viewed by the State.	***E - Exact match***	The state by default has visibility to all records.
R11	Edit Incomplete Records	The system allows authorized State users to take control of a user, facility, or a county's incomplete record if assistance is requested by the author.	***W - Workflow or System Configuration Required***	States can update a record if the criteria is set up appropriately and defined by the state.
List of Registration Queues for Births				
R12	Birth Demographic Exceptions Queue	All birth records submitted with demographic exceptions.	***W - Workflow or System Configuration Required***	All work queues are easily configured by our staff or the state staff as needed throughout the project.
R13	Birth Medical Exceptions Queue	All birth records submitted with medical exceptions.	***W - Workflow or System Configuration Required***	
R14	Past Due Queue	The system provides a queue for birth records entered but not submitted for registration within a State defined number of days past due.	***W - Workflow or System Configuration Required***	
R15	Generate Pop-Up Message	In addition to the actual messages, the screen includes the number of records that need attention.	***N- Cannot Meet***	Queues do not have pop-up messages associated with them. They do however have the number of records
R16	Queue Child Alive, "No"	System creates a queue for records where "No" is selected for Child Alive and no matching death certificate is found in the system.	***W - Workflow or System Configuration Required***	
R17	Birth Queue Conversion Option	The system allows all birth post-registration queues to be converted to pre-registration queues if deemed necessary by the State users configuring the system after implementation	***E - Exact match***	State can easily change a work queue and add criteria to it.
List of Registration Queues for Fetal Death				
R18	Fetal Death Demographic Exceptions Queue	All fetal death records submitted with demographic exceptions.	***W - Workflow or System Configuration Required***	
R19	Fetal Death Medical Exceptions Queue	All fetal death records submitted with medical exceptions.	***W - Workflow or System Configuration Required***	

R20	Past Due Queue Fetal Death	The system provides a queue for Fetal Death records entered but not submitted for registration within a State defined number of days past.	*W - Workflow or System Configuration Required*	
R21	Fetal Death Late Queue	The system provides a queue for all fetal death records that are submitted after a State defined period of time.	*W - Workflow or System Configuration Required*	
List of Registration Queues for Death				
R22	Pending COD Queue	The system allows the user to clear pending COD queue based on State defined timeframe if COD is not obtained.	*W - Workflow or System Configuration Required*	An extra IGNORE COD QUEUE Field can be added so the records will still have a pending COD but not appear
R23	Filter COD Queue	The system allows the user to filter the COD queue by State defined parameters.	*E - Exact match*	The queue is a search screen shortcut that filters can be added to. The Filter is just additional values added to
R24	Edit COD Filters	COD filters may be added and/or turned on and off by authorized State users.	*W - Workflow or System Configuration Required*	Filters are easily added by all users that can access that event search screen. This is accomplished by adding
R25	Death Demographic Exceptions Queue	All death records submitted with demographic exceptions are queued for State review AFTER registering the record if auto-registration is turned on. If auto-registration is turned off, the records are reviewed prior to registration.	*W - Workflow or System Configuration Required*	The queue can be easily changed to meet this requirement.
R26	Death Medical Exceptions Queue	All death records submitted with medical exceptions are queued for State review AFTER the record has been registered if auto-registration is turned on. If auto-registration is turned off, the records are reviewed prior to registration.	*W - Workflow or System Configuration Required*	Various queues can be set up
R27	Death Queue Conversion Option	The system should allow all death post-registration queues to be converted to pre-registration queues if deemed necessary by the State users configuring the system after implementation	*W - Workflow or System Configuration Required*	Changing criteria or changing the name of the queue is very simple.
R28	Full Paper Records Queue	The system provides a queue for full paper records, OOS records, and International Records.	*W - Workflow or System Configuration Required*	Queues can easily be created.
R29	No Authorization for Disposition Issued Queue	The system provides a queue for records that do not have an Authorization for Disposition.	*W - Workflow or System Configuration Required*	
R30	Medical Certification Outstanding Query Letter Queue	The system provides a queue for records awaiting replies to Medical Certifier Query Letters.	*W - Workflow or System Configuration Required*	

Description: Review exceptions (Box 3)

For records with exceptions, the State will review these records to determine if further validation of the data is required. The user has the ability to electronically message a user through the system to ask a question or the user may query the record through the system. The State user may determine, based on the answer provided, that one of the following actions need to be taken:

1. A statistical correction needs to be made to the record. The State user would make this correction and release the record from the queue.
2. An amendment is required to correct the record. The State user would flag the record as "do not issue" and reject the record back to the author of the record to initiate the amendment. The record retains both the SFN and LFN.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R31	Messaging	Please see General Requirements, section Q - Messaging through the System, regarding rules related to query messages for system users.		
R32	Display Comment Fields on Records "Submitted With Exceptions"	When a record is submitted with exceptions, a comment field displays the highlighted fields with the exceptions (i.e., Accepted out-of-range) on the record for the system user to review.	*W - Workflow or System Configuration Required*	The fields can be pushed to a comment field, but normally the REVIEW ERRORS menu has a list of the fields with exceptions. Clicking on one of these fields in
R33	Demographic Review	The demographic section of the record may be reviewed separately from the medical section.	*M - Modify*	
R34	Medical Review	The medical section of the record may be reviewed separately from the demographic section.	*M - Modify*	
R35	Separate Reviews	The demographic portion may be reviewed by a user with a different set of privileges than a user reviewing the medical portion.	*M - Modify*	

R36	Access to Health Exchange	An authorized user can access the Health Exchange while reviewing the record.	*M - Modify*	
R37	Side-by-Side Viewing	The system presents Health Exchange information side by side with the record information.	*M - Modify*	
R38	Print Side-by-Side Comparison	The system allows the user to print the side-by-side comparison of the record and Health Exchange information.	*M - Modify*	
R39	Attach Side-by-Side Comparison	The system allows the user to attach the side-by-side comparison to a query.	*N- Cannot Meet*	
R40	Legal Fields Locked	All legal fields are locked.	*E - Exact match*	Standard practice to lock fields depending on various flags or status of the records.
R41	Statistical Fields Open	All statistical fields are unlocked for authorized users.	*E - Exact match*	
R42	View Worksheet	The system allows the user to view the worksheet while viewing the record to confirm certain State defined data fields, such as the spelling of names.	*E - Exact match*	If the worksheet is scanned in, the image can be displayed while the record is being displayed.
R43	Obvious Errors	Obvious typographical errors to demographic information may be fixed by the user as long as they are validated by viewing the worksheet.	*E - Exact match*	
Additional Rules for Death				
R44	Allow Review and Recoding of Literal Entries	The system allows the user to review the literal entries (such as "Other") and recode them as appropriate.	*W - Workflow or System Configuration Required*	Any data entried field can be seen on the screen and rekeyed as necessary.
R45	Maintain Literal and Code	If an authorized user recodes a literal, both the original literal and the State code are maintained in the system database along with the user ID of the person who corrected it and the reason for the change.	*M - Modify*	
Additional Rules for Birth				
R46	CPS Flag	If the record is a CPS case, the record will be flagged for review by the State. Flag indicates that the child's name will be changed at the time of adoption.	*W - Workflow or System Configuration Required*	Flags can be added to signify CPS case.
R47	Remove CPS Flag	The system allows authorized users to remove CPS flags on birth records.	*W - Workflow or System Configuration Required*	
R48	Court Order to Remove CPS Flag	In order to remove a CPS flag, the authorized user must enter in a court order number and scan and attach the court order to the record.	*W - Workflow or System Configuration Required*	

Description: Accept record? (Box 4); If yes, release record (Box 6)

The user must take an actionable step to accept and review the record. Once the record is accepted, it is removed from the queue.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R49	Accept Exceptions	The system requires the user to take a specific action to indicate that all exceptions have been reviewed and accepted.	*W - Workflow or System Configuration Required*	This would be a Y/N field for them to enter to signify acceptance.
R50	Remove Exception Flags	Upon taking the action to indicate that all exceptions have been accepted, the corresponding exception flag is removed from the record.	*W - Workflow or System Configuration Required*	
R51	Demographic Exceptions	Demographic exceptions may be accepted separately from medical exceptions.	*W - Workflow or System Configuration Required*	The edit exception has an indicator whether it was for Demographic or Medical; therefore, there can be two
R52	Medical Exceptions	Medical exceptions may be accepted separately from demographic exceptions.	*W - Workflow or System Configuration Required*	
R53	Alert NCHS of Out-of-Range Entries	The system allows the State to note that they have verified out-of-range entries in such a way that these entries are accepted by NCHS without generating an error.	*E - Exact match*	Our system has the standard NCHS override and query flags that are sent to NCHS for those fields in error.
R54	Update Status of Corresponding Section and Record	The system automatically updates the status of records and moves them to the appropriate queue.	*E - Exact match*	Many standard features of our system are automatic.

Description: Query record? (Box 5); If yes, go to Query Cycle; If no, go to Post Registration Rejection Cycle Flow

If the system user or State user determines that the record cannot be accepted, they have two options:

(1) The user can choose to query some specific data item(s). Utilizing the Query Cycle Flow, the user will message the record author with the query. The record is flagged accordingly and placed in the appropriate pending queue. The vital records system automatically notifies the record author that further information to the record is required.
(2) The user may choose to reject the record back to the original author. All rules for the Post Registration Rejection Flow and the Amendment Process Flow apply to these records.

Please note: All the rules regarding the query cycle and rejection of a registered record are defined in the Rejection and Correction Cycle flow apply to this process and are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R55	**Query Message**	Please see General Requirements, section Q - Messaging through the System, regarding rules related to query messages for system users.		
R56	**Letter Rules**	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
R57	**Query Cycle**	See Query and Rejection cycle, Query Cycle section for rules regarding queries.		
R58	**Amendments**	Please see the Amendments business rules, regarding rules related to corrections of system records.		
R59	**Query and Rejection Cycle**	Please see Query and Rejection Cycle business rules, regarding rules related to query and rejection of System records.		

BUSINESS PROCESS: STATE REVIEW OF EXCEPTIONS PRIOR TO REGISTRATION OF RECORDS

The current vision of the State is that all types of birth and death records will be reviewed prior to registration, until such time as the auto-registration feature is turned on by the State. At that time, only certain types of records will be reviewed prior to registration. Records that require State review prior to registration include:
• paternities
• unattended home births
• court order surrogacy
• safe haven and foundling birth records

Certain types of registrations such as foreign birth and judicial determination of death require that the State enter the data to create the record and then register the record. This process should be seamless for the State user.

Note: All Post-Registration Review Rules apply to this flow and are not repeated here.

Description: Registration user logs into EVRS (Box 1); Select queue to work from or create a new record (Box 2)

The system user logs onto the system. The system authenticates the user and the privileges for the user. The main menu appears and allows the user to select the queue of work that s/he wishes to perform.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R60	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
R61	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
R62	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
List of Registration Queues				
R63	**Pending Records**	This queue contains any records that are in progress and are not contained in any of the other queues such as foreign births.	***E - Exact match***	We have had pending queues in all states. Normally it is the Overall Record Status Field. But the exact fields
List of Registration Queues for Birth				
R64	**Demographic Exception Queues**	The system provides birth queue for all unregistered records with a demographic exception.	***W - Workflow or System Configuration Required***	
R65	**Medical Exception Queues**	The system provides birth queue for all unregistered records with a medical exception.	***W - Workflow or System Configuration Required***	

R66	Unattended Birth Queue	All unattended births are queued for State review PRIOR to registering the record.	*W - Workflow or System Configuration Required*	
R67	Paper Midwife Queue	All birth records submitted by midwife using a paper record are queued for State review PRIOR to registering the record.	*W - Workflow or System Configuration Required*	
R68	Paternity Queue	The system provides a queue for birth records with paternity awaiting registration.	*W - Workflow or System Configuration Required*	
R69	Paternity Pending Queue	The system provides a queue for records waiting for paternities to be received from the facility or midwife.	*W - Workflow or System Configuration Required*	
R70	Abandoned/Safe Haven Infant Queue	Abandoned/Safe Haven Infant records are queued for State review PRIOR to registering the record.	*W - Workflow or System Configuration Required*	
R71	Foreign Birth Queue	The system provides a queue for foreign births.	*W - Workflow or System Configuration Required*	
R72	Court-Ordered Surrogacy Queue	The system provides a queue for court-ordered surrogacy.	*W - Workflow or System Configuration Required*	
R73	Birth Queue Conversion Option	The system allows all birth post-registration queues to be converted to pre-registration queues if deemed necessary by the State users configuring the system after implementation.	*W - Workflow or System Configuration Required*	
R74	Drug-Related Deaths	System provides a queue for all records with a drug-related death.	*W - Workflow or System Configuration Required*	
R75	Rare Cause of Death	System provides a queue for all records with a rare cause of death.	*W - Workflow or System Configuration Required*	
R76	List of Drugs	The list of drugs will be user defined and table driven.	*W - Workflow or System Configuration Required*	
List of Registration Queues for International Death				
R77	International Death Queue	The system provides for a queue for international death of a WV resident or WV birth.	*W - Workflow or System Configuration Required*	
List of Registration Queues for Judicial Determination of Death				
R78	Judicial Determination of Death Filter	The system provides an ability to filter death records in the queue by Judicial Determination of Death.	*W - Workflow or System Configuration Required*	
R79	Judicial Determination of Death Queue	The system provides for a queue for Judicial Determination of Death records.	*W - Workflow or System Configuration Required*	

Description: Select and review record to be registered (Box 3); Exceptions on record? (Box 4); If no, system registers record and assigns SFN and LFN (Box 5);

The user reviews the record for completeness and accuracy. Depending on the queue selected the user may batch register records in a queue or may review each record individually. All hard edit fields are locked. An authorized user may make corrections on typos if they are validated by review of the attached worksheet. If there is no exception on the record, the user electronically signs the record. The system automatically assigns the record a SFN and LFN. The record is now released from the queue and is available for issuance or amendments.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R80	Registering a Record	Please see the General Requirements section O - State File Numbers and Registration. All rules apply here.		
R81	State File Number	Please see the General Requirements, section O - State File Numbers and Registration, for rules regarding the SFN.		
R82	Point of Sale and Event Modules	Please see the General Requirements, section A - User Technical Environment, for rules regarding the POS and event modules.		
Additional Rules for Registrations				
R83	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		

R84	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
R85	**Search Rules**	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
R86	**Unique Screens**	Each special registration type will have their own unique screens.	***E - Exact match***	All the special registration type screens use the basic event screen as the base fields.
R87	**Screen Layout**	The screen layout for each special registration will be State defined.	***E - Exact match***	The state will choose the fields to show on the special registration screen from the universe of those event
R88	**Minimal Information**	The minimum information required to start a special registration record are State defined.	***E - Exact match***	Edits can be initiated depending on the registration type.
R89	**Duplicate Check**	When a new record is started the system performs a duplicate check.	***E - Exact match***	Duplicate checks can be performed on all records.
R90	**Edits**	The edits for each special registration are State defined.	***E - Exact match***	Edits can be specific for that registration type.

Additional Rules for Court Order Births

R91	**Court Order**	The system provides the user with a method of indicating that a court order has been received.	***E - Exact match***	There can be a number of flags dealing with the court order information on the birth record.
R92	**Surrogacy Documentation**	If a surrogacy court order is indicated in the birth record, the court order must be attached to the record if the record was created at a facility.	***W - Workflow or System Configuration Required***	This can be required depending on the state's requirements.
R93	**Surrogacy Flag**	If a surrogacy court order is indicated in the birth record, the record must be flagged for review by the State.	***W - Workflow or System Configuration Required***	
R94	**Original Court Order**	The system requires the user to indicate that the original court order was received at State before the record can be registered.	***W - Workflow or System Configuration Required***	
R95	**Supporting Documents**	Supporting documents for home births that are submitted on paper are scanned and associated with the system birth record.	***E - Exact match***	Standard scanning and attaching feature backed up by the state business rules.
R96	**Identify Supporting Documents**	The user selects, from a State defined list, which supporting documents were presented and attached to the record.	***W - Workflow or System Configuration Required***	The dropdown can contain anything the state wants. Only one item can be chosen or the Other option used

Additional Rules for Foreign Births

A system user may begin a Report of Foreign Birth record once a court order is received. The user enters the information and scans and attaches all supporting documentation. Reports of Foreign Births are sealed by the system once complete. Certificates of Foreign Birth can only be issued by the State.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R97	**Certificate of Foreign Birth**	The system provides a data entry screen unique to the Report of Foreign Birth record.	***E - Exact match***	
R98	**Foreign Birth at the State Only**	The system only allows the State to access the foreign birth screen.	***E - Exact match***	
R99	**Screen Matches Report**	The foreign birth screen matches the layout of the Certificate of Foreign Birth.	***E - Exact match***	
R100	**Country of Foreign Birth**	The system allows the country of birth to be other than "US" for Reports of Foreign Birth.	***E - Exact match***	
R101	**Create New Record**	Reports of Foreign Birth creates an original birth record.	***E - Exact match***	The foreign birth is just a special registration type of birth. That means it always displays in that special
R102	**Scan Supporting Documentation**	The system allows the user to scan and attach State defined supporting documentation to a Certificate of Foreign Birth record.	***E - Exact match***	
R103	**No SSN Enumeration Request**	The system does not run the SSA enumeration request for a foreign born record.	***E - Exact match***	The SSA extract is used by many states and does not extract from the foreign birth records.

R104	Scan Forms	Forms must be scanned and attached to the record.	*W - Workflow or System Configuration Required*	We can determine whether anything has been scanned and attached. If not, an error message or warning is
R105	Seal File	Original file may be sealed.	*E - Exact match*	Any record can be sealed in the system.
R106	Special Statement on Certificate of Foreign Birth	The system provides the ability to print a special statement on the bottom of the Certificate of Foreign Birth, similar to "This is not proof of US Citizenship" or other State defined statements.	*E - Exact match*	We can print state defined messages at the bottom of any document.
Additional Rules for International Death of a WV Resident or a WV Birth				
R107	International Data Entry	When notified of a death in a foreign country of a WV resident or someone born in WV, the user can data enter the information into the system.	*E - Exact match*	
R108	No Authorization for Disposition	The system does not assign an Authorization for Disposition for international deaths.	*W - Workflow or System Configuration Required*	Simple edit to be created.
R109	Do Not Issue Flag	The system automatically flags all international death records as "Do not issue."	*W - Workflow or System Configuration Required*	Simple edit to be created.
Additional Rules for Death				
R110	Notify Medical Certifier	The system allows a user to send a notification at any time to any medical certifier who uses the system to request that s/he complete the COD.	*E - Exact match*	Uses the tools...send message/email and enter the email address.
R111	Date Medical Certifier Notified to Complete Record	The system captures the date when the medical certifier is notified to complete a death record. The medical certifier is automatically notified by a system message or an email from the system.	*W - Workflow or System Configuration Required*	There can also be a Field or button on the screen that will initiate this message and update the date.
R112	Calculate 24-hour Window	The system calculates 24-hours from when the medical certifier is notified to complete a death record.	*W - Workflow or System Configuration Required*	we can caculate times but the the time cannot be used in workqueues.
R113	Provide List of Late Certificates to System User	The user may display, on demand, a list of death certificates that have passed the 24-hour mark for certifying the cause of death.	*W - Workflow or System Configuration Required*	Accomplished with a report.
R114	Select Queue from List	The user selects from the list of queues for which s/he is authorized.	*E - Exact match*	There are a number of queues the authorized person can select from. But the calculation of time is not
Additional Rules for Judicial Determination of Deaths				
R115	Judicial Determination of Death Easily Identified	Judicial Determination of Death records are clearly identified by a code in the record.	*W - Workflow or System Configuration Required*	Judical Determination Flag added to the record.
R116	Presumptive Death Easily Identified	Presumptive Death records have a unique identifier as part of their SFN.	*W - Workflow or System Configuration Required*	State file numbers are a specific format. A presumptive death could be a Special registration type and therefore
R117	Notation of Court Order	The death record indicates that it is a Judicial Determination of Death and captures the court order number.	*W - Workflow or System Configuration Required*	
R118	Judicial Determination of Death Indicator	A Judicial Determination of Death indicator alerts the user that the record is a Judicial Determination of Death.	*W - Workflow or System Configuration Required*	An alert can be set.
R119	Screen Matches Form	The Judicial Determination of Death screen matches the layout of the appropriate death form.	*E - Exact match*	This would be the normal death record format with some extra fields.
R120	Supporting Documentation	The supporting documentation for a Judicial Determination of Death registration is scanned and attached to the electronic death record in the system database.	*E - Exact match*	Our system allows scanning and attaching to any event record.
R121	Judicial Determination of Death Certificate	Judicial Determination of Death records have a State defined format.	*E - Exact match*	We will meet the state defined format as long as it follows the death format with the addition/subtraction of
R122	Abstract of Court Order Information	Judicial Determination of Death records include fields to abstract the court order information.	*W - Workflow or System Configuration Required*	
R123	Print Abstract on Certified Copy	Abstracted information entered in the record prints on the certified copy of the death record.	*W - Workflow or System Configuration Required*	

Description: If there is an exception on record, review exceptions (Box 6); Can fix? (Box 7); If yes, edit record (Box 8); System registers record and assigns SFN and LFN (Box 5); If record cannot be fixed, reject record (Box 9); Go to Post Registration Rejection Cycle Flow

If there is an exception on the record, the user will review the record. As needed, the system user may choose to correct an obvious error/exception; alternatively, the user may reject a record back to the original owner. If rejected, the record is flagged and queued for the appropriate record owner. A message is sent to the record owner indicating that rejected records are pending review.

Please note: All the rules defined in the Query and Rejection Cycle flow apply to this process and are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R124	Registering a Record	Please see the General Requirements section O - State File Numbers and Registration. All rules apply here.		
R125	State File Number	Please see the General Requirements, section O - State File Numbers and Registration, for rules regarding the SFN.		
R126	Query and Rejection Cycle	Please see Query and Rejection Cycle business rules, regarding rules related to rejection and corrections of the system records.		
R127	Query Message	Please see General Requirements, section Q - Messaging through the System, regarding rules related to query messages for system users.		
R128	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
R129	Check Pending Status	Upon registration, the system checks pending requests to see is there is a request for certificate.	*E - Exact match*	Standard Practice in our system to check the CAS system for waiting requests for this record.
R130	Ready to Issue	After errors are corrected the system changes "pending" status on order to "ready to issue".	*E - Exact match*	The status on the CAS Request record will change to Ready to Issue like we do for other states.
R131	Update Record with ME COD	Once a record goes to a medical examiner and the ME later submits a COD, the original record is updated with the ME information while retaining the original information.	*W - Workflow or System Configuration Required*	The original information is normally kept in the Audit Log table. Or it can be special fields added to the death
R132	Access Record as Many Times as Necessary	The system allows access to the record as many times as necessary to allow the system user to validate the information and ensure the completeness and accuracy of the record post-registration.	*E - Exact match*	View the record as many times as needed.
R133	Uncertified Recalled Record	If a record is recalled by a funeral establishment or medical certifier and has not yet been registered, the record is "uncertified" in the appropriate section and the status changed to "active" or equivalent.	*W - Workflow or System Configuration Required*	The Funeral establishment can display and change their part of the record if needed, even though they completed it, if the record has not been registered and
R134	Display Comment Fields on Records "Submitted with Exceptions"	When a record is submitted with exceptions, a comment field displays the highlighted fields with the exceptions (i.e., Accepted out-of-range) on the record for the system user to review.	*W - Workflow or System Configuration Required*	Normally the user would use the built in capability to view the fields in error/exception. Actions Menu...Review Errors/Queries. But we can list our
R135	Obvious Error	An authorized system user can override values for obvious errors without an affidavit or amendment (e.g., incorrect spelling of Charleston).	*E - Exact match*	User can update fields if they are not protected without an affidavit/Amendment.
R136	Re-Send SSA Verification	If any of the SSA SSN verification fields are changed, the system automatically resends the SSN for verification purposes on those fields.	*E - Exact match*	This is a standard SSA mechanism.
R137	Track Changes Made to Record	The system tracks changes made by the system user for each record.	*E - Exact match*	The audit log will capture any field that has changed if that field is identified by the state as needing this
R138	Highlight Use of "Other" or "Unknown"	The display highlights the use of "other" or "unknown" to determine if a more specific value can be selected.	*N- Cannot Meet*	We only highlight the fields that are in error/exception. Other and unknown fields are not highlighted.
R139	Comment for "Other" Fields	All "other" fields provide the option for an explanation in the comment field.	*E - Exact match*	We do not have a comment field for each and every field that might use OTHER. We do meet this
R140	Integrate VIEWS	The system uses tables from VIEWS to check spelling.	*E - Exact match*	The system is integrated with views with all its native capabilities for the fields that are sent to it.
R141	Allow Review and Recoding of Literal Entries	The system allows the user to review the literal entries (such as "Other") and recode them as appropriate.	*W - Workflow or System Configuration Required*	We can set a record level flag when OTHER is used in any dropdown. You can have a workqueue for those

R142	Maintain Literal and Code	If an authorized user recodes a literal, both the original literal and the State code are maintained in the system database along with the user id of the person who corrected it and the reason for the change.	*M - Modify*	
R143	Scan Supporting Documents	The system provides the ability to scan all supporting documents transmitted to the State in support of a death record.	*E - Exact match*	
R144	Put Record on Hold	The system user may choose to maintain control of the record and simply request further information from the medical certifier or funeral establishment. In this case, the system user marks the record "on hold" or equivalent.	*W - Workflow or System Configuration Required*	This flag and status can be used and set when a message is sent using a button or field.
R145	Update Status of Corresponding Section and Record	The system automatically updates the status of records and moves them to the appropriate queue.	*W - Workflow or System Configuration Required*	Sometimes the user sets the status and sometimes the system sets it. Depends on the circumstance. The
R146	Populate Jurisdictional Defined Entry Fields	The system automatically populates jurisdictional defined entry fields such as "State File Number", "System user", "Name" and "Date Registered" when the record is registered.	*E - Exact match*	Standard practice

Additional Rules For Birth Records With Paternity Affidavit Forms

The signed and notarized Paternity Affidavit Form is scanned and attached to the birth record when it is submitted for registration. These records are queued for State review prior to registration. Please see the Paternity Flow for rules related to paternity creation and submission. If a PAF is sitting the Paternity Pending Queue and is not completed within 30 days of the child's DOB, the PAF is filed with no father listed.

Paternities are checked visually against the record to ensure a match. Paternities are checked for completeness. If the form is not complete, the user may message the original owner of the record or generate a letter regarding corrections or missing information as needed. A unique indicator in the record designates receipt of a Paternity Affidavit Form at the State. If the information from the Paternity is not already in the record, it is entered into the record and edit checks are run against the record. All Paternities are scanned so there is a record in the system that shows the physical signatures. The system links the scanned record to the birth record.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R147	Query Message	Please see General Requirements, section Q - Messaging through the System, regarding rules related to query messages for system users.		
R148	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
R149	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
R150	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
R151	Record Receipt of Paternity Form at State	For the State to retain the original copy of the PAF, the system provides a field in the record to record receipt of the PAF.	*W - Workflow or System Configuration Required*	Field can be added if it is not already there.
R152	Update Status to "Paternity Received"	The system updates the status of the record with "Paternity Received" once the record passes the edit checks.	*W - Workflow or System Configuration Required*	
R153	Review Paternity from Queue	The scanned PAF can be viewed from the corresponding birth record.	*E - Exact match*	
R154	Display List of Birth Records Awaiting Paternity Affidavit Forms	The system displays a list of birth records for which paternity forms have not been received.	*W - Workflow or System Configuration Required*	Work queue looking at the paternity flag.
R155	Incomplete Paternity Letter	The system allows a user to select a letter from a set of letter templates depending on problem, time, etc. and send it to the non-system user facility indicating the received paternity is incomplete.	*W - Workflow or System Configuration Required*	The requests/documents menu contains the letters. The user chooses a letter and PRINTS it and mails it to the non-system facility.
R156	Template Letter Updates	The system allows the user to update and customize template letters.	*E - Exact match*	Our Report Builder utility allows this.
R157	Scan Paternity Affidavit Form	The Paternity Affidavit Form can be scanned at the State if it was received in paper.	*E - Exact match*	
R158	Court-Ordered Paternity Rescission	The system allows for court-ordered rescission of paternity and retains the court order number with the Paternity Affidavit Form and birth record.	*W - Workflow or System Configuration Required*	Include field for court order for the rescission.

R159	Rescinding of Paternity	They system allows role defined users to mark a record as a having a "Paternity Rescission."	***W - Workflow or System Configuration Required***	That field will be only available to some user groups.
R160	No Change to Record	The system does not allow a State user to change a record after a rescission without a new PAF.	***W - Workflow or System Configuration Required***	A rescission would Lock the record from updates without a modification type applied.
R161	Pending Paternity Hold	The system will not issue a record if it is in the "Paternity Pending" queue.	***W - Workflow or System Configuration Required***	Flag values can stop a record from printing. The Workqueue would look at the same fields.
R162	Court-Ordered Change	The system allows a State user to make changes to a record when a court order has been received for a rescission.	***W - Workflow or System Configuration Required***	Changed using the Change Request mechanism or request...modification mechanism.
R163	Paternity Edit Check for Status	The system automatically checks the paternity status of the record to determine if there is a pending Paternity Affidavit Form. These records are displayed in the Paternity queue. The system will timestamp the completion of the paternity.	***W - Workflow or System Configuration Required***	
R164	Paternity Affidavit Form Required Info	For Paternity Affidavit Forms, the system checks the record for a State defined list of information.	***M - Modify***	

BUSINESS PROCESS: POST REGISTRATION PROCESS

Once an event record is assigned a SFN and LFN, a number of post registration processes may occur:

- Birth/Death Cross Match
- Issuance
- Amendments
- SSA Fact of Death
- NCHS Transmission
- Extracts for Vital Statistics
- Imaging
- Reports
- Data Quality Assurance
- Registry Reporting

Description: Record has been registered (Box 1)

Please note: All rules that relate to registering records are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R165	Registered Records	Please see the registration rules above for all rules related to registering records within the system.		

Description: Records available for Issuance, Amendments, and Birth Death Cross Match (Box 2)

Please note: All rules that relate to issuance, amendments and birth/death cross match that apply to registering records are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R166	Record Available for Amendments	Please see the amendment section of the business rules, for all rules related to Amendments within the system.		
R167	Record Available for Issuance	Please see the issuance section of the business rules, for all rules related to Issuance within the system.		
R168	Record Available for Birth/Death Cross Match	Please see the Birth/Death Cross Match section of the business rules, for all rules related to Birth/Death Cross match within the system.		

Description: Record included in NCHS transmission (new and changed) (Box 3); Receive error report (Box 4); Correct errors in EVRS (Box 5)

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R169	Exports and Imports	Please see General Requirements, section AA - Exports and Imports, for rules on imports and exports.		

R170	**Specific Exports and Imports**	Please see General Requirements, section BB - Specific Exports and Imports, for rules on imports and exports.		
Additional Rules Regarding Death Records				
R171	**Notify Registry of Reportable Cause of Death if Cause Changes**	If, after registration, the cause of death changes, the system sends a notification to any stakeholder who received notification of the original cause of death through rapid reporting.	***W - Workflow or System Configuration Required***	We can notifiy registry users with an email(s) provided in the rapid reporting table when COD changes.
R172	**Medical Portion Complete Prior to Extraction**	The medical portion of the record must be complete, even if it is pending, prior to extracting a file to NCHS.	***W - Workflow or System Configuration Required***	Records can/cannot be extracted to NCHS dependent on any number of flags determined by the state.

Description: SSA Transmission [Birth and Death] (Box 6); Update EVRS with SSN information (Box 7)

For Birth:
The system queues registered records marked for submission to transmit to SSA to request SSN numbers for the births. Records are transmitted to SSA on a State defined basis. When the file is returned from SSA, the system is updated with the SSNs of each birth record.

For Death:
The system queues registered records marked for submission to transmit. Records are transmitted to SSA on a State defined basis. When the file is returned from SSA, the system is updated with the SSNs of each death record.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R173	**Exports and Imports**	Please see General Requirements, section AA - Exports and Imports, for rules on imports and exports.		
R174	**Specific Exports and Imports**	Please see General Requirements, section BB - Specific Exports and Imports, for rules on imports and exports.		
R175	**Enumeration Transmissions**	The file produced complies with the standard SSA format for enumeration.	***E - Exact match***	Standard for all states.
R176	**Import Results from SSA**	When SSA returns the file with the SSN's, the data is imported into the system to update each birth record.	***E - Exact match***	Standard for all states.
Additional Rules Regarding Birth				
R177	**Send Records with SSA Requested by Parent(s)**	Only records where the parent has indicated a request for a SSA for baby will be sent to SSA.	***E - Exact match***	Standard for all states.

Description: Create extract for backup (Box 8)

The system automatically generates a backup of files and images. On a regularly scheduled basis, the system transmits the backup to the State.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R178	**Microfilm**	For microfilm rules please reference General Requirements section CC.		
R179	**Backup of Files and Images**	The EVRS system can be backed up on a State defined schedule using standard database backup tools and techniques.	***E - Exact match***	SQL Server and Hosting
R180	**Send Backup to State**	System sends backup of files and images to the State on a State defined interval.	***M - Modify***	

Description: Scheduled and ad hoc reporting (Box 9)

The system runs any needed reports ad hoc or at a scheduled interval. After registration, ad hoc reports can be created by system users with the appropriate authority as defined by the State.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R181	**Reports**	Please see Reports - Appendix C for rules on reports.		
R182	**Ad Hoc Reporting**	Please See Rules for Ad Hoc Reporting.		

R183	New Reports	The system allows the State the ability to define and format new reports in the system as needed.	*E - Exact match*	Using our Report Builder tool.
R184	Reporting Database	The system allows the State to generate and refresh the statistical reporting database on a State defined interval.	*M - Modify*	
Additional Rules Regarding Fetal Death				
R185	Report Indicating Births Matching Fetal Deaths	The user is able to generate a report that lists any birth certificate for which a fetal death record is found.	*W - Workflow or System Configuration Required*	Match facility contains this information. Report layout yet to be determined
R186	Report Indicating Death Matching Fetal Deaths	The user is able to generate a report that lists any death certificate for which a fetal death record is found.	*W - Workflow or System Configuration Required*	Match facility contains this information. Report layout yet to be determined

Description: QA registered records (Box 10)

The registered records are reviewed by Quality Assurance personnel to ensure data quality.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R187	**Query Message**	Please see General Requirements, section Q - Messaging through the System, regarding rules related to query messages for system users.		
R188	**Query and Rejection Cycle**	Please see Query and Rejection Cycle business rules, regarding rules related to rejection and corrections of the system records.		
R189	**Amendments**	Please see the Amendments business rules, regarding rules related to corrections of the system records.		
R190	**Letter Rules**	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
R191	Void Event Records Filed in Error	Based on the user authority, a user can void records created in error. Users who created the record will be notified via flags/notifications to inform them that a record they created was voided.	*W - Workflow or System Configuration Required*	
R192	Merge Records	Based on the user authority, a user can merge record(s) that do not have a state file number to the record with a state file number. Users who created the record will be notified via flags/notifications to inform them that a record they created was merged.	*N- Cannot Meet*	We do not do any type of merge between different records or data sets.
R193	Low Birth Weight Baby Queue	The system provides the ability to send the birth records with the birthweight less than 500 grams or unknown and more than 60 days after birth and no death certificate matched to it to a queue.	*W - Workflow or System Configuration Required*	Basic Queue mechanism on fields.
R194	Message Facility for More Information	The system allows the State to message a facility for more information for records with the birthweight less than 500 grams or unknown and more than 60 days after birth and no death certificate matched to it If the infant was transferred from one medical Facility to another, the survey is sent to the "transferred to" Facility.	*W - Workflow or System Configuration Required*	
R195	Mark Record "Response Has Been Received"	The system indicates when a response has been received from a facility for requests from the State for more information on the birthweight less than 500 grams or unknown and more than 60 days after birth and no death certificate matched to it.	*W - Workflow or System Configuration Required*	If the message was sent from that particular record, the LFN is present in the message. When the user Replys to the message, a flag can be set in that event record
R196	Low Birth Weight Baby Soft Edit	System provides soft edits upon birth data entry if baby weight is less than 500 grams.	*E - Exact match*	We have done this for other states
R197	Compare Births to Fetal Death	The system provides the ability to compare records across events such as birth to fetal death in order to identify potential errors in the event type. If, for example, a death was labeled fetal but wasn't, the system should void and transfer over to death. This should be a dynamic report.	*W - Workflow or System Configuration Required*	We can produce a report of possible errors if the state gives us the exact criteria to use. The system cannot transfer over from a fetal and create a death record.

R198	High-Risk Babies	For birth records which indicate a high-risk baby, an indicator shows that a matching death certificate is likely to be received. Medical indicators of high-risk may include low Apgar scores, low birthweight, transfer of baby or specific medical conditions found at birth. This should be viewed by group, such as by user or SFN, not by individual records.	*W - Workflow or System Configuration Required*	An indicator can be added to the birth record indicating a Death record might be received...when the baby is high risk. The state will have to provide the high risk criteria for this edit and the information on the
R199	Deceased Birth	The system provides the ability to review birth records that have been marked deceased.	*E - Exact match*	Simple search criteria on the Birth search screen.
R200	Errors in Records	If errors are encountered during the quality assurance process, the system determines if certified copies have been issued.	*E - Exact match*	User can easily check the Document Tracking linked records to see what has been printed from that death
R201	Lock Records with Recalled Copies	For records with errors that have had certified copies issued, the system locks the record so that no additional copies can be issued until all errors have been corrected or the State does an override.	*W - Workflow or System Configuration Required*	Extra fields added for this purpose.
R202	Certified Copies Not Been Issued	If, during the quality assurance process, a record is found with errors that are legal issues (not statistical) and certified copies have not been issued, the record is locked and flagged so that certified copies cannot be issued until the correction is made or the State does an override.	*W - Workflow or System Configuration Required*	Extra fields added for this purpose.
R203	Records with Errors Placed in Queue for Corrections	Records with errors are placed in a queue for correction and/or amendment.	*W - Workflow or System Configuration Required*	Queue looks at flags determined by the state for Correction process.
R204	Allow System User to Input Notes Into Notification	The notification of record errors is in the form of a template that allows the system user to input any remarks or questions regarding the record prior to sending it to the originator of the record.	*W - Workflow or System Configuration Required*	Comment fields on the record can be made specifically for this purpose.
R205	Re-direct Record or Entire Queue	The system allows a system user to re-direct an individual record or an entire queue if necessary.	*W - Workflow or System Configuration Required*	This would be done with our Batch/number Change facility. It would only be used for Simple changes if a
R206	Reason Code for Re-Directing Record or Queue	Prior to allowing a record or queue to be re-directed, the system prompts the user to enter a reason code which explains why the user felt the need to re-direct the record or queue.	*M - Modify*	
R207	Notification of Pending Queue	If a record or queue is re-directed, a notification is sent to the recipient of the record or queue.	*M - Modify*	

Description: Imports and extracts for Vital Statistics/NCHS/STEVE (Box 11)

Out-of-state births can be received as an extract from STEVE or entered at the State for records received on paper. State staff will import the extract into the system received via STEVE. Data is available for Vital Statistics extracts.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
R208	Exports and Imports	Please see General Requirements, section AA - Exports and Imports, for rules on imports and exports.		
R209	Specific Exports and Imports	Please see General Requirements, section BB - Specific Exports and Imports, for rules on imports and exports.		
R210	Statistical Extracts	The system allows the State the ability to define and format new statistical extracts in the system as needed.	*E - Exact match*	Using the Extract utility
R211	Flag Record Once Extracted	The system sets a flag to indicate a record was included in an NCHS or STEVE extract and prevents record from being re-sent.	*E - Exact match*	Standard for all states.
R212	Enter Paper Records	The system allows the State the ability to enter an out-of-state record received on paper.	*E - Exact match*	Registration type for Out of state is standard and further determined by the state as to the fields to capture.
R213	Correct Records	The system allows the State the ability to correct out-of-state records that were entered from paper.	*E - Exact match*	
R214	Fields State Defined	The fields for out-of-state paper records are State defined.	*E - Exact match*	

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

BUSINESS PROCESS: DEATH EXTRACT TO NCHS

The NCHS Death Extract (formerly two files: Death Demographics and SuperMICAR) needs to be extracted in the NCHS/IJE format and sent via STEVE and/or SAMS as one file. NCHS then processes the file.

Once NCHS processes the files, they are uploaded to an FTP site (CDC SAMS portal, Secure Access Management Services) for the State. The State retrieves the files and downloads them into EVRS. This file contains the ICD codes that correspond to records in the database. The system automatically runs the updated records through user-defined filters (examples: pending cause, alcohol-related) and any that match the filters are flagged for review. The records are placed in queues and the system notifies Authorized Personnel that records are pending review.

The flagged records are reviewed by Authorized Personnel to determine if any changes are needed on the ICD 10 coding. If changes are needed, discussions will be held with the medical certifier or NCHS. The medical certifier is notified via a query letter sent to the physician. After a response is received from the medical certifier, it is reviewed to determine if the ICD 10 coding is correct or if it needs to be edited. If the code needs to be changed, then Authorized Personnel will contact NCHS to determine the best method for changing the record.

If NCHS does not agree with Authorized Personnel's coding, no change is made to the system data. If NCHS agrees with the change, the change is made in one of three ways: (1) NCHS makes the change in their record and a new file is sent to the State for uploading in EVRS; (2) the Nosologist will change the record in EVRS and resend to NCHS; (3) NCHS will provide the corrected codes for the State to correct in the system. The system maintains a history of the codes and the replacement codes used on a record. Changes to cause of death codes after NCHS processing are flagged accordingly and periodically exported to NCHS. ICD codes that are changed by State are not resent to NCHS.

Description: Export files from EVRS to NCHS specified format (Box 1); Flag record sent date (Box 2); Send files to NCHS (Box 3); NCHS processes file (Box 4)

Records are exported from the system into the NCHS Death Extract specified file format on a regular basis (formerly two files: Death Extract and SuperMICAR). The records pulled for the export are flagged as "Sent to NCHS." The exported files are sent through SAMS or STEVE to NCHS, and NCHS receives the files and processes them.

	Business Rule Name	Business Rule Description	Vendor Response	Comments
DE1	Exports and Imports	Please see General Requirements, section AA - Exports and Imports, for rules on imports and exports.		
DE2	Specific Exports and Imports	Please see General Requirements, section BB - Specific Exports and Imports, for rules on imports and exports.		
DE3	Occupation and Industry	Please see General Requirements, section II - Occupation and Industry Capability, for rules on occupation and industry.		
DE4	NCHS Specified Format	The output conforms to NCHS specification.	E - Exact match	Many states use this same format.
DE5	Changeable Format	The format can be modified by the user as NCHS changes the format.	E - Exact match	Our Extract utility easily allows the user to do this.
DE6	Interface with Any System That Replaces Current NCHS Coding System	If NCHS replaces the current MICAR and ACME-style coding systems, EVRS will be modified to properly interact with the replacement system.	W - Workflow or System Configuration Required	This will be some configuration work, but we are committed to making our system work with the standard practices for all states when interfacing
DE7	Real Time Interface with "WebMICAR"	When available, WebMICAR is integrated with the system, allowing the immediate exchange of literals from the entry of cause of death information in the system at the State and the returned codes from the NCHS server.	W - Workflow or System Configuration Required	Just like we did for the VIEWS2 mechanism, we will add the WebMICAR when it is available.
DE8	Flag Records for NCHS	Once the records are selected for NCHS, the "sent to NCHS" flag is set.	E - Exact match	
DE9	Select Only Registered Records	Only records that contain the State File Number and do not have the "sent to NCHS" flag are selected.	E - Exact match	
DE10	File Contains Certificates and West-Virginia-Specific Information	The NCHS death file contains both certificate information and State defined, West-Virginia-specific information in the same file.	W - Workflow or System Configuration Required	The West Virginia specific fields will need to be specified by the state and then they will be added
DE11	West-Virginia-Specific Information Replaces Literal Cause of Death in Extract	If a record contains both the literal cause of death from the death certificate and West -Virginia-specific information, the system replaces the cause of death from the certificate with the West-Virginia-specific information fields in the extract of the record.	W - Workflow or System Configuration Required	
DE12	West-Virginia-Specific Information and Cause of Death Information Maintained in System Record	Both the cause of death information and West-Virginia-specific information are maintained in the death record.	W - Workflow or System Configuration Required	There will be new fields for the West Virginia specific information added to the death database record to accomplish this.
DE13	Do Not Send State-Assigned Codes	The system does not send codes assigned by the State to NCHS.	W - Workflow or System Configuration Required	The appropriately specified fields will be sent.
DE14	Separate Files for Multiple Years	Records included in the NCHS death extract files contain data for the calendar year. Additional years require separate files.	W - Workflow or System Configuration Required	The selection criteria for the extract can strip off the years wanted. Multiple runs will have to be
DE15	Undo Flag - Batch	The flag for a specific batch of records can be reset so that the file can be re-extracted.	W - Workflow or System Configuration Required	We will implement a reset flag on the extract.
DE16	Undo Flag - Individual Record	The flag for a specific record can be reset so that the record can be re-extracted.	E - Exact match	This is a specific flag the user can update.
DE17	Out-of-State Deaths	Out-of-state deaths are not included in the extract file.	E - Exact match	
DE18	Extraction of Files	The extraction program can also generate files on demand for a specific set of dates or certificate numbers.	W - Workflow or System Configuration Required	Various pareameters can be easily added to any extract.

DE19	**View Records with Changed COD by State**	The system provides the ability to display records for review by Vital Statistics in which the COD (ICD Codes) was changed by the State and there is additional information data.	***W - Workflow or System Configuration Required***	A new Flag needs to be added to address this State Change so it can be selected.
DE20	**Reset 'Sent to NCHS' Flag for Changes to COD Literals or Other Data**	The system automatically removes the "sent to NCHS" flag for any record within the reporting period that has had the COD literals or other data revised after it has been sent to NCHS so that it can be sent again.	***W - Workflow or System Configuration Required***	Standard practice for changes that result in re-sendinig to NCHS.
DE21	**Reset 'Sent to NCHS' Flag for Changes to Demographic Fields**	The system automatically removes the "sent to NCHS" flag for any record within the reporting period that has had any changes made to the demographic fields after it has been sent to NCHS so that it can be sent again.	***W - Workflow or System Configuration Required***	Standard practice for changes that result in re-sendinig to NCHS.

Description: Receive file from NCHS via CDC/SDN website (Box 5); Download file to EVRS (Box 6); Update database with cause of death codes (Box 7)

Once NCHS has processed the West Virginia Vital Statistics file, they place the processed file on their FTP site for West Virginia to retrieve. Vital Statistics retrieves the processed file and downloads it into the system. The cause of death codes and race codes contained in the file update the corresponding records in the database.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
DE22	**Update Death Records**	Each death record is updated with the corresponding ICD or race codes, as appropriate, that are returned from NCHS in the import file.	***E - Exact match***	
DE23	**All Codes Viewable**	All codes returned from NCHS are viewable to the user.	***E - Exact match***	We have tabs specific for this purpose.

Description: Vital Records run State defined filters (Box 8); Queue updated record (Box 9)

The system automatically runs the updated records through user-defined filters. Any records that match the filters are flagged for review by Authorized Personnel. The records are placed in the appropriate queue and a message is sent to Authorized Personnel notifying them that records are pending their review. Examples of types of filters include: pending cause, alcohol-related, and cancer with unspecified primary site.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
DE24	**Filters**	Filters for record selection are based on the ICD 10 codes.	***W - Workflow or System Configuration Required***	State specifies the filters. The Import Process runs a set of SQL statements to Update the
DE25	**Changes to Filters**	Filters can be changed by the user for a single run or for all subsequent runs.	***W - Workflow or System Configuration Required***	Another set of sql reports can be run to filter and manipulate the results.
DE26	**Cross-Field Filters**	Filters may cross fields and test the contents of multiple fields in combination to determine if the record meets the criteria.	***W - Workflow or System Configuration Required***	The SQL used for the filters can be as complex as needed to achieve the criteria.
DE27	**Filters Run Automatically**	The filter program can be ran automatically after the NCHS codes are updated.	***W - Workflow or System Configuration Required***	The filters run automatically during the final stage of the import process.
DE28	**Filters Run on Demand**	The filter program can be ran on demand.	***W - Workflow or System Configuration Required***	The filters can be stored procedures that are run from the import SQL.
DE29	**Filters State Defined**	Filters for record selection are State defined.	***E - Exact match***	

Description: Authorized Personnel accesses queue to review NCHS coding (Box 10); Change required? (Box 11); M.C. or NCHS? (Box 12); If NCHS, correspond with NCHS (Box 13); Agree to change code? (Box 14); NCHS sends new file (Box 15)

Authorized Personnel logs onto the system and access the queue of records waiting for review. S/he reviews the NCHS coding on each record and makes a determination regarding whether they are in agreement with the ICD code applied by NCHS. The system provides additional specific sections for the State to enter ICD codes that are in addition to the those supplied by NCHS. It is also possible that changes are needed to the ICD 10 coding provided by NCHS. Often times, Authorized Personnel needs to discuss the coding with NCHS. If NCHS does not agree with Authorized Personnel's coding, no change is made to the system data in the NCHS returned ICD fields; additions may be made in the State ICD fields. If NCHS agrees with the change, it may be made in one of three ways: (1) NCHS makes the change in their records and a new file is sent to the State for uploading into the system; (2) Authorized Personnel will change the literal COD on record in the system and resend the record to NCHS; (3) NCHS will informally provide the correct codes, and Authorized Personnel enters those codes into the record. The system may maintain a history of records for which the ICD 10 value was replaced with a new value, including the original NCHS value and the replacement value. All records with changes to the literal cause of death (or ICD code) after NCHS processing are flagged accordingly and exported on a periodic basis to be sent to NCHS. The process for exporting and sending files to NCHS is the same as that described earlier.

State ICD codes that are added to the record are not resent to NCHS.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
DE30	**NCHS ICD Codes**	The system provides the corresponding number of fields to receive all ICD codes provided by NCHS.	***E - Exact match***	Standard to receive the NCHS codes into.
DE31	**State ICD Codes**	The system provides sufficient fields which correspond in position to the NCHS ICD codes for the State to add their own ICD codes.	***W - Workflow or System Configuration Required***	Fields will be added for the state ICD codes.
DE32	**Sort Queue**	The queue can be sorted by the reason that the record was selected by the filter.	***W - Workflow or System Configuration Required***	Various fields are updated as a result of the filters.
DE33	**Remove Record from Queue**	Authorized Personnel can remove a record from the queue without making changes.	***N- Cannot Meet***	Records are in the queue because they meet the criteria. To remove them from a queue, they
DE34	**Link Directly to Entry Screen**	If Authorized Personnel determines that a specific code or literal needs to be changed, the program links directly to the entry screen without having to select another program from the menu; the program then returns to process the next record in the queue.	***E - Exact match***	The queue is a search screen results. A record and be display and closed and the system goes back to the search screen results where they
DE35	**Access to Query Function**	The system provides the ability to generate a query letter regarding the cause of death from within the death record screen.	***E - Exact match***	

Description: M.C. or NCHS? (Box 12); If M.C., send a query letter (Box 16); Receive response (Box 17); Review response (Box 18)

If the medical certifier needs to be consulted, a query letter is sent to the physician. When the response is received from the medical certifier, it is reviewed to determine whether the original ICD 10 coding is appropriate or if the coding needs to be changed. If Authorized Personnel determines that the code needs to be changed, the State corresponds with NCHS to determine the best method for achieving the change to the record. The record is amended and the flags are reset so that the record is resent to NCHS.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
DE36	**Query Letter**	The query letter will be sent to the system-specified medical certifier directly through the system, abiding by all user-specific messaging options, or may be printed from the system either digitally (i.e. PDF format) or physically.	***E - Exact match***	
DE37	**New Value Does Not Overwrite NCHS Value**	The new value is entered in a specific amended code field and does not overwrite the NCHS values.	***W - Workflow or System Configuration Required***	An additional set of nchs fields can be on the screen to house the updated codes.
DE38	**Identify Responses to Query Letters**	The system identifies changes in ICD 10 codes that were responses to query letters.	***W - Workflow or System Configuration Required***	The appropriate fields can be printed on the query letter.
DE39	**Resend Flag**	A "resend to NCHS" flag is set to send the record to NCHS when the next change file is sent. This is different from the "sent to NCHS" flag.	***W - Workflow or System Configuration Required***	An additional field can be present for the Resend to NCHS flag.
DE40	**Report on NCHS and New Values**	Reports can be ran to show both NCHS and new specific values.	***W - Workflow or System Configuration Required***	With report specifications from the state and the appropriate fields on the screen, both values can
DE41	**Analyze History**	The system provides the functionality to analyze changes in codes between NCHS and the Bureau of Vital Statistics.	***M - Modify***	This requirement is too open ended to answer without knowing what is included in Analyze

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E - Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

BUSINESS PROCESS: DELAYED BIRTH REGISTRATION

A delayed birth certificate may be initiated through the mail, walk-in, or by way of a judicial determination of birth. Once the initial request is received, the record is created in EVRS and minimal information is entered into the system. The system user reviews the record to be registered and the supporting documentation. If there is missing information, the user generates a letter and sends the letter to the requestor to provide the additional required information. If the information is complete, the record is reviewed to determine if it will be accepted or denied. If the form is accepted, the form is printed and forwarded to the requestor to notarize. Once the form is notarized, reviewed and accepted, the delayed birth certificate is registered, a SFN is assigned, and the record is ready for issuance. If the system user determines the request should be denied, the user generates a denial letter, sends it to the requestor, scans the submitted documentation, and closes the case.

The timeframe for a delayed birth certificate request to remain open is State defined. Closed request do not expire from the system; they are simply closed until such time as the requestor reinitiates that request.

When a delayed birth certificate is registered, the system moves the request from the Pending Queue to the Ready to Issue Queue.

Please note: All rules that relate to starting a birth record, record edits, electronic signatures, queues, registration and issuance apply to delayed birth records and are not repeated here. The business rules in this section are specific to delayed birth registration.

Description: Receive request for Delayed Birth Certificate (Box 1); Create record in EVRS w/minimal information, data enter the record's information (Box 2),

The State may start a case from a paper document that has been submitted by the parents, legal guardian, or a child over 18 years of age through the mail. Additionally, the State may start a case if a court order is received. The record is created in EVRS by data entering the minimal information needed to start the record. The record is checked to see if it has sufficient information to complete the record. A delayed certificate cannot be created for an individual that is deceased.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
DB-1	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
DB-2	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
DB-3	Search Rules	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
DB-4	Point of Sale and Event Modules	Please see the General Requirements, section A - User Technical Environment, for rules regarding the POS and event modules.		
DB-5	Paternity Rules	All rules related to Paternities apply to this section.		
DB-6	365-Day Deadline	The system provides a 365-day deadline for processing a delayed birth certificate.	W - Workflow or System Configuration Required	
DB-7	365-Day Alert	The system provides an alert that the 365-day deadline is approaching at a State define number of days before the deadline.	W - Workflow or System Configuration Required	A reminder letter can be created to monitor approaching deadlines and send an email.
DB-8	Judicial Determination of Birth	A Judicial Determination of Birth only requires court documents, ID and payments to process. No additional documentation or notarization is needed.	W - Workflow or System Configuration Required	
DB-9	Delayed Birth Queue	The system provides a queue for records entered in to the system for a delayed birth. All delayed birth records are placed in the queue for review prior to registration.	W - Workflow or System Configuration Required	
DB-10	Minimal Information	The minimum information required to create a delayed birth record are State defined and may include, but are not limited to, person's full name, date of birth, state of birth, mother's full maiden name, father's full name, and mother's and father's places of birth.	E - Exact Match	
DB-11	Paternity Screens	If paternity is part of the delayed birth process, paternity screens are available for the State user.	W - Workflow or System Configuration Required	The paternity is part of the Birth screens and therefore part of the delayed birth screens.
DB-12	Check for Duplicates Across All Birth, Death, and Fetal Death Record Types	When a new delayed birth certificate case is created, the system checks for an existing birth, death or fetal death records across all record types (home birth, facility, delayed, death, or fetal death) including denied requests.	W - Workflow or System Configuration Required	Duplicate checks will match state requirements and fields.
DB-13	Check for Duplicates on Any Mandatory Field	The system checks for duplicates for a delayed birth based on State defined matching criteria.	W - Workflow or System Configuration Required	Duplicate checks will match state requirements and fields.
DB-14	No Delayed Certificate for Deceased	If during the duplicate check it is determined that the individual applying for the delayed certificate is deceased, the application is denied. The request is added to the record history.	W - Workflow or System Configuration Required	
DB-15	Delayed Birth Fields	The fields for a delayed birth certificate are State defined.	E - Exact Match	
DB-16	Age of Applicant	The system checks the age of the person applying for a delayed birth certificate. The person requesting the delayed birth certificate must be over 18 years of age or an emancipated teen with a court order.	W - Workflow or System Configuration Required	
DB-17	Under-18 Review by Registrar	If applicant is under 18 years of age and parents SSN's are required, the record has a flag placed on it for Registrar's review and approval. Once reviewed and approved by Registrar, the flag is removed.	W - Workflow or System Configuration Required	
DB-18	Notation of "Delayed" Made in Birth Record	The birth record indicates that this is a delayed birth.	E - Exact Match	The reg type code is an easy visual queue as to this being a delayed record.
DB-19	Screen Matches Form	The delayed birth screen matches the layout of the appropriate Delayed Certificate of Birth Form.	E - Exact Match	

DB-20	No Medical Information	Delayed birth certificates contain no medical information.	E - Exact Match	

Description: Complete? (Box 3); If no, send Letter of Instruction to requestor (Box 4); Receive information from requestor or judicial determination of birth (Box 5); Access record from delayed registration queue and enter data (Box 6);

If the information received for the delayed birth certificate is not sufficient to complete the record, the record is placed in a pending queue and the system generates a Letter of Instruction indicating what information is needed to complete the delayed registration of birth. The letter is given or sent to the requestor. When the additional information is received from the requestor or a court order is received, the State user accesses the record from the delayed registration queue. The additional information is added to the record. Edits applied are unique to delayed registration and the rules that apply are found below.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
DB-21	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
DB-22	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
DB-23	Delayed Birth Pending Queue	The system provides a queue for delayed births that are awaiting the return of additional information.	W - Workflow or System Configuration Required	
DB-24	Requestor Review Queue	The system provides for a queue for delayed birth records that are pending receipt of the notarized form from the requestor.	W - Workflow or System Configuration Required	Additional fields are needed to monitor the return of the notarized form.
DB-25	Delayed Birth 1st Letter Queue	The system provides a queue for delayed births requiring a first letter for follow up. The timeframe for the first letter is State defined.	W - Workflow or System Configuration Required	
DB-26	Delayed Birth 2nd Letter Queue	The system provides a queue for delayed births requiring a second letter for follow up on the original request. The timeframe for the second letter is State defined.	W - Workflow or System Configuration Required	
DB-27	Delayed Birth 3rd Letter Queue	The system provides a queue for delayed births requiring a third letter for follow up on the original request. The timeframe for the third letter is State defined.	W - Workflow or System Configuration Required	
DB-28	Judicial Determination of Birth Required After 3rd Attempt	If an applicant has been unsuccessful in their delayed birth certificate application after their third attempt, a box is checked which generates a denial letter informing the applicant that in order to continue the application, they will need a Judicial Determination of Birth.	W - Workflow or System Configuration Required	Could be accomplished with the Reminder letter and a Report which is SQL to flag the record as specified.
DB-29	Judicial Determination of Birth Alert	When a Judicial Determination of Birth is initiated at the court, an alert is sent to the State informing them that an applicant has initiated a Judicial Determination of Birth and the day of their court hearing. This alert stays in the system for 20 days.	W - Workflow or System Configuration Required	This could be an additional event for the alert.
DB-30	Documents Used as Evidence	The system collects State defined information for each document used for evidence in a delayed birth certificate request. Information may include document type, date filed, birth fact it supports, and more.	W - Workflow or System Configuration Required	Additonal fields for collecting info. Could be a separate evidence event to keep many documents for that birth. Or maybe a finite number would do.
DB-31	Delayed Birth Certificates Collect Proof of Birthdate	The user selects, from a State defined list, the type of proof that was submitted for birthdate. Multiple document selections are possible.	W - Workflow or System Configuration Required	
DB-32	Delayed Birth Certificates Collect Place of Birth	The user selects, from a State defined list, the type of proof that was submitted for place of birth.	W - Workflow or System Configuration Required	
DB-33	Delayed Birth Certificates Collect Parents' Information	The user selects, from a State defined list, the type of proof that was submitted for parents' names and their birthplaces.	W - Workflow or System Configuration Required	
DB-34	Delayed Birth Certificate	A birth record registered one (1) year or more after the date of birth is registered as a delayed certificate.	E - Exact Match	Standard one year period until that record has to be a delayed birth.
DB-35	Documentation if Filed Within 10 Years After Date of Birth	The system requires a minimum of a hospital record created at time of birth or two forms of proof of birth.	W - Workflow or System Configuration Required	
DB-36	Two Documents Must Prove Place of Birth of Applicant	If there are no hospital records available and applicant is under 10 years of age, the system requires the user to select two documents from a State-defined list that prove the applicant's place of birth.	W - Workflow or System Configuration Required	
DB-37	Exact Date of Birth	The system requires the user to select two (2) documents from a State-define list that proves the exact date of birth.	W - Workflow or System Configuration Required	

DB-38	Documentation if Filed 10 Years or More After Date of Birth	The system requires a minimum of three forms of proof of birth if applicant is ten (10) years of age or more from their date of birth.	W - Workflow or System Configuration Required	
DB-39	Documentation for Persons Under 10 Years of Age	Documents must have been established at least one year prior to the date of application or within the first year of life.	W - Workflow or System Configuration Required	
DB-40	Documentation for Persons 10 Years of Age or Over	Documents must have been established at least 10 years prior to the date of application, or within 3 years of the date of birth.	W - Workflow or System Configuration Required	
DB-41	Receipt Number	The system links the receipt number associated with delayed birth record request.	W - Workflow or System Configuration Required	
DB-42	Parents' Information	The system provides the user with a drop down menu with State defined options showing proof of the full name of the registrant's mother prior to any marriage and the full name of the father. Examples include but are not limited to: parent's marriage license, birth certificate of the applicant's sibling.	W - Workflow or System Configuration Required	
DB-43	"Closed" Status After One Year	The system automatically changes the status to "closed" after one year from the date of the original receipt. A letter is sent to the applicant informing them of the "closed" status.	W - Workflow or System Configuration Required	Typically a report that runs SQL to update the record, and a report for the letter.
DB-44	Re-Open "Closed" Case	The system allows an authorized user to re-open a closed case.	W - Workflow or System Configuration Required	
DB-45	SSN EAB for Delayed Births	The system does not run the SSA EAB for a delayed birth record.	E - Exact Match	

Description: Denied? (Box 7); If Yes, print letter of denial (Box 8); Scan documents and attach to record (Box 9); Close record (Box 10); Mail documents and denial letter to requestor (Box 11);

In the case where a delayed registration is denied, a letter of denial is printed. Supporting documents are scanned and attached to the electronic record, and the State closes the record in the system. The documents and denial letter are mailed to the requestor.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
DB-46	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
DB-47	Registration Denied	The system provides the ability to deny the registration of a delayed birth record.	W - Workflow or System Configuration Required	
DB-48	Reason for Denial	The system provides the user with a State defined list of reasons why the record was denied registration.	E - Exact Match	
DB-49	Close Denied Record	The system allows the user to close a denied record.	W - Workflow or System Configuration Required	
DB-50	Denied Delayed Birth Certificate	A delayed birth that is denied is retained in system with a status of "denied" and a message that the record can only be opened with a court order.	W - Workflow or System Configuration Required	
DB-51	Open Denied Record	Upon receipt of a court order, an authorized user can open a denied record, then edit and prepare the record for registration.	W - Workflow or System Configuration Required	

Description: If not denied, print form and forward to requestor (Box 12); Received notarized form from requestor (Box 13); Review form (Box 14); OK? (Box 15); If no, send letter of instruction to requestor (Box 4);

Once the birth record passes all edit checks, the record is accepted and the paper form is printed and forwarded to the requestor. The requestor reviews the delayed birth certificate verification form. If the information is correct, the record is notarized and returned to the State. If not correct, changes are noted on the form and the form is returned to the State to make changes as needed. When the State receives the completed notarized form, the State performs a final review of the certificate. If the record is okay, it is moved to the queue for registration.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
DB-52	State User Keys Record	The system prevents the same user that keyed the record from being the user that approves the record for registration.	W - Workflow or System Configuration Required	
DB-53	State User Approves Keyed Record	A second user must access the Delayed Birth Registration Queue to review the delayed birth record and approve it for registration.	W - Workflow or System Configuration Required	
DB-54	Delayed Birth Registration Queue	The system provides a queue for Delayed Birth records that have been entered and are awaiting approval for registration.	W - Workflow or System Configuration Required	

DB-55	Signature Portion of Certificate	The system generates a delayed birth certificate form containing the birth information, signature portions, and an abstract of supporting documentation.	W - Workflow or System Configuration Required	
DB-56	Certificate Marked "Delayed"	The system-generated delayed birth certificate form is noted with "Delayed" by the SFN.	W - Workflow or System Configuration Required	
DB-57	Form Options	The system allows the user to select which type of form printed. The format for the delayed birth certificate is state defined.	E - Exact Match	
DB-58	Abstract Evidence	The system allows evidence to be abstracted from the system and includes the title or description of the document, the name and address of the custodian of the document, and the date of the original filing of the document.	W - Workflow or System Configuration Required	
DB-59	List Evidence	The system allows abstracted evidence to be printed on the certificate.	W - Workflow or System Configuration Required	
DB-60	Print Delayed Certificate of Birth	The system allows the user to print a Delayed Certificate of Birth.	W - Workflow or System Configuration Required	
DB-61	Reprint Certificate	The system allows an authorized user to reprint a Delayed Certificate of Birth as needed, such as in the instance of a paper jam or low ink.	W - Workflow or System Configuration Required	

Description: If OK, registrar record and assign SFN (Box 16); Scan certificate and supporting documentation (Box 17); Go to Issuance Flow

If the requestor confirms that all of the information is correct, the system user registers the delayed birth record and a State File Number is assigned. All business rules regarding registering a record apply to delayed records. The paper certificate and any supporting documentation are scanned and attached to the electronic record. The record is ready for issuance of certified copies.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
DB-62	State File Number	Please see the General Requirements, section O - State File Numbers and Registration, for rules regarding the SFN.		
DB-63	Point of Sale and Event Modules	Please see the General Requirements, section A - User Technical Environment, for rules regarding the POS and event modules.		
DB-64	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
DB-65	Supporting Documentation	The supporting documentation for delayed birth registrations is scanned and attached to the electronic birth record in the system database.	E - Exact Match	
DB-66	Not Included in NCHS Extract	Delayed birth certificates are not sent to NCHS.	E - Exact Match	

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

BUSINESS PROCESS: RECORD A BIRTH, FETAL DEATH OR DEATH OF A WEST VIRGINIA RESIDENT IN ANOTHER STATE

This process gathers all required information for recording births, fetal deaths, and deaths of West Virginia residents in other states for statistical and informational purposes.

Description: An out-of-state vital event occurs to a WV resident (Box 1); Other State provides WV with record (Box 2); Electronic file? (Box 3); If yes, upload and unencrypt, import/edit (Box 4) Record OK? (Box 5); If yes, EVRS assigns out-of-state file number (Box 8); If no, preview queue of error records (Box 6); Print report for follow-up if required (Box 7), Go to Step 8.

Information regarding West Virginia residents who give birth or die in another state may be received from the other states either through STEVE or in a paper format. In addition, for non-WV residents who were born in WV but die out of state, information can be received in the same manner as above (roster records).

The system retains the state file number assigned by another state for all out-of-state births, deaths, ITOP, and fetal deaths - a unique West Virginia state file number is not assigned by the system. All out-of-state events are for statistical purposes only and can only be viewed or printed by Vital Statistics. No West Virginia facility may issue copies of out-of-state certificates or supply information about these records other than the state in which the event occurred. Out-of-state birth, fetal death, ITOP, and death records may be viewed by authorized staff once they are loaded into the system.

There are currently no NAPHSIS use cases for receiving and recording out-of-state birth, fetal death, ITOP, or death records. The system conforms to and interfaces with STEVE.

If the information is received in an electronic file through STEVE, the user uploads the data and imports it into the database. If a duplicate record is found during the import, the new record will replace the old record in the system. The records are then ready for the Birth Death Cross Match process. An error report is produced from any records that do not import correctly.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
01	Accept All STEVE and IJE Imports	The system is able to accept all STEVE and IJE imports.	*E - Exact Match*	

O2	Upload Report	The system produces a report that confirms the total number of records contained in the file, the total number of records that were successfully uploaded, and the total number of records that failed the edit checks.	*E - Exact Match*	Standard import functionality produces report, error and recycle file.
O3	Upload Detailed Information	The system provides the user with the option of reviewing, either on screen or in the form of a print out, an itemization of the results of the processing of each of the records from the upload of a given file.	*W - Workflow or System Configuration Required*	
O4	Error Report	The system generates an error report for any records that do not import correctly into the system.	*E - Exact Match*	
O5	Duplicate Records	The system checks for duplicate records upon import.	*E - Exact Match*	
O6	Updated Record Replaces Duplicate	If the system finds a duplicate record and the record has an "updated" indicator in STEVE file format, the new file replaces the existing record.	*W - Workflow or System Configuration Required*	The replacement always happens. There is no conditional element in whether it is replaced or not. A different import that only uses the
O7	Report of Duplicates	The system allows the user to create a report of duplicate records.	*W - Workflow or System Configuration Required*	The setting on the import determines if the duplicates will be replaced or reported.
O8	IJE Format	The system is able to accept files in the IJE format.	*E - Exact Match*	
O9	STEVE Interface	The system is able to interface with STEVE.	*N- Cannot Meet*	
O10	Keep OOS SFN	The system keeps the original SFN assigned by the state where the birth, death, ITOP, or fetal death occurred. A West Virginia SFN is not assigned.	*W - Workflow or System Configuration Required*	
O11	Out-of-State Records Receive System Assigned Number	The system applies a system-assigned tracking number to out-of-state records and does not remove/replace the out-of-state file number.	*W - Workflow or System Configuration Required*	We typically create a LFN. Most states do create a SFN with a special code/letter in it to keep track of the records easier.

Description: Electronic file? (Box 3); If no, log into EVRS at State in Vital Statistics (Box 10); Input information (Box 11)

Out-of-state records received on paper will be entered in the system at the State. These records will follow the same steps as paper records received at the State. The State user will select the OOS status/record type and enter the information in the system. For OOS records entered from paper, the system allows data entry of the OOS SFN and has relaxed edit rules and checks for existing record with same state of event occurrence (birth, death, fetal death or ITOP), event year and OOS SFN.

	Please note: All rules that relate to entering a birth record, death record, fetal death records, ITOP records, record edits, electronic signatures, queues, registration apply in this process and are not repeated here.			
	Business Rule Name	***Business Rule Description***	***Vendor Response***	***Comments***
O12	User Log In	Please see the General Requirements section B -User Authentication for rules related to user log in.		
O13	User Profiles	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
O14	Record Type	The data entry screens for the entry of an out-of-state birth, fetal death, ITOP, and death are by record type and match screens for an in-state birth, fetal death, ITOP, and death.	*E - Exact Match*	
O15	Relaxed Edits	The system allows for relaxed edits for OOS records entered from paper.	*E - Exact Match*	The state will determine the fields to relax the edits on but this capability is used in other states for entry of OOS records.
O16	OOS SFN	The system allows the user to enter the original SFN assigned by the state where the birth, death, ITOP, or fetal death occurred. An West Virginia SFN is not assigned.	*W - Workflow or System Configuration Required*	There is typically an OOS_SFN field that contains the original SFN from the originating state.
O17	Maintain List for Select Institutions	The system allows the State to maintain a table of select out-of-state institutions to facilitate data entry. These are only institutions that are commonly used, such as funeral homes in a neighboring State.	*E - Exact Match*	We have done this before for neighboring states.
O18	Unknown Data	Fields for which there is no data are marked "unknown."	*W - Workflow or System Configuration Required*	Typically they are left blank.
O19	Duplicate Record Data Entry Error	The system does not allow data entry of a duplicate record and displays an error message.	*E - Exact Match*	

Additional Rules Regarding Running Edit Checks and Printing an Uploaded Report

Once the information is entered into the system, an error check runs. The user has the option to print a report of the records that were uploaded from another state. If the error is one the user is authorized to correct, the error is corrected.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
O20	Edit Set	The edit set used on out-of-state records is different than those used for in-state records.	*E - Exact Match*	
O21	West Virginia Residency	The system has a soft edit to check that residency is West Virginia.	*W - Workflow or System Configuration Required*	
O22	West Virginia Birth	The system has a soft edit to check for a West Virginia resident birth.	*W - Workflow or System Configuration Required*	
O23	Correct Errors	The system allows a designated user to correct obvious errors.	*E - Exact Match*	

Description: Birth (for infants) or Death Record? (Box 9); Go to Birth Death Cross Match Flow

Each out-of-state event type keeps the SFN number assigned by the state where the birth, death, ITOP, or fetal death occurred. OOS birth and death records are later matched against in-state birth and death records through the Birth Death Cross Match Flow.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
O24	Birth Death Cross Match Rules Apply	Please see Birth Death Cross Match for all rules related to Birth Death Cross Match.		
O25	Enter OOS SFN	The system allows the user to enter the SFN assigned by the state in which the out-of-state birth, death, ITOP, or fetal death occurred. A West Virginia SFN is not assigned.	*W - Workflow or System Configuration Required*	
O26	Record Type "Out-of-State"	The system marks an OOS record as an "Out-of-State" record type. Record type is clearly visible to the user.	*E - Exact Match*	
O27	Provide Fields for Both NCHS and West Virginia ICD Codes	At this time, the State may wish to change an ICD code provided by NCHS. The system maintains the ICD codes provided by NCHS while allowing the State to indicate their preferred ICD codes.	*W - Workflow or System Configuration Required*	
O28	Does Not Print Out-of-State Certificates	The system does not allow the printing of certified or uncertified copies or abstracts of certificates based on out-of-state records.	*W - Workflow or System Configuration Required*	
O29	Users May Print Working Copies	The system allows a user, based on system roles and profiles, to print working copies of OOS records. They are clearly marked as such.	*E - Exact Match*	
O30	OOS Records Not Included in SSA Transmissions	Out-of-state records are not included in SSA transmissions.	*E - Exact Match*	
O31	OOS Records Not Included in NCHS Transmissions	Out-of-state records are not included in NCHS transmissions.	*E - Exact Match*	

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

OVERVIEW OF THE BUSINESS PROCESSES FOR BIRTH/DEATH CROSS MATCH

NAPHSIS use case models associated with death registration:
EDRS UC 064 v. 1.2 - Register a Case
EDRS UC 042 v. 2.1 - Match Death Case to Birth Record
MVRS UC 011 v. 1.5 - Void Registered Record

BUSINESS PROCESS: BIRTH/DEATH CROSS MATCH

Birth Death Cross Match works in 2 distinct ways: 1. It runs each time a death record is registered in the system and if a match is found that meets the State defined threshold, the birth and death records are automatically linked and the appropriate information is automatically placed on each record without human intervention. Potential matches within a state defined range are queued for a user to review and determine if the system-generated match is truly a match. All infant deaths (under 12 months of age) are placed in an Infant Death Queue. 2. It can be initiated and ran at anytime through manual intervention. Birth Death Cross Match includes out-of-state death records.

Queues: A user will review the records in the queue, true matches will be linked, and the system will automatically apply the appropriate information on each record. No matches may be released back into the database for later cross match or marked as "no match." Records marked as "no match" will not be included in the next cross matching activity.

THE FOLLOWING RULES APPLY BOTH OPTIONS DEFINED ABOVE FOR CONDUCTING CROSS MATCH

Description: The Death Record is registered (Box 1); Birth Death Cross Match runs automatically (Box 2); Match? (Box 3); If there is a match, the system automatically links and marks the records (Box 4)

Once the death record is registered, the system automatically runs a Birth Death Cross Match. The users do not need to initiate the function. The system performs a search for potential matching records based on fields such as name, date of birth, location of birth, father's name, mother's name, and mother's maiden name for review by the user. If a match is found initially, the system will automatically link and mark the records.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
BD1	Threshold Percentages State Defined	The threshold percentages are State defined.	*E - Exact Match*	

BD2	Matching Criteria	Matching criteria are State defined.	*E - Exact Match*	
BD3	Bi-Directional Option	The Birth Death Cross Match may be performed either through the system's birth or death module.	*E - Exact Match*	
BD4	Instant Cross Match on Death	The system automatically searches for a birth record when a death record is registered in the system.	*W - Workflow or System Configuration Required*	Currently the user has the option to start the process for that individual record. We will move that initiation to the record
BD5	State Defined Schedule	The Birth Death Cross Match may be scheduled to run on a State defined schedule.	*E - Exact Match*	Yes we have scheduling for the batch match portion.
BD6	Mask Images for Cross Match	The system will be able to mask images for Birth Death Cross Match	*W - Workflow or System Configuration Required*	
BD7	Back Data Entry	The system allows indexed records to be back-data-entered in the moment without leaving the module so that the user may continue with Birth Death Cross Match.	*W - Workflow or System Configuration Required*	Records can be back data entried at any time. The match and data entry are separate operations.
BD8	Extract for County BDCM	The system allows counties to extract data from the system on a periodic basis to import into their individual data bases for BDCM purposes.	*E - Exact Match*	Our extract utility does this once the state defines the extract format.
BD9	Extract Format	The extract will be in a standard format for all counties and is State defined.	*E - Exact Match*	
BD10	Shared Events County to County	The export should include records in which one event occurred in the county, but the other occurred in a different county (for example, born in one county but died in another).	*W - Workflow or System Configuration Required*	These would be two separate extracts.
BD11	Shared Events County to State	The export should include records in which one event occurred in the county, but the other occurred in a different state (for example, born in one county but died in a different state).	*W - Workflow or System Configuration Required*	The extract parameters take care of this but it could take multiple runs of the extract depending on the states needs.
BD12	Export Flag	The system will flag the record as "exported" to the county.	*E - Exact Match*	Updates to flags in the record are a standard part of the extract.
BD13	Flag Records	A record that has an "exported" flag cannot be re-exported.	*W - Workflow or System Configuration Required*	The export selection criteria take this into account.
BD14	Data to be Exported	The export only has enough information to identify the records that are matched. Information exported is State defined. Information that could be included is decedent's name, date of birth, date of death, death SFN, birth SFN, county of birth, county of death, and state of death.	*W - Workflow or System Configuration Required*	Any information can be exported.
BD15	Export Queue	The exported data can be viewed in a queue.	*W - Workflow or System Configuration Required*	The same parameters that are being used in the extract can be made in a queue for the state to see.
BD16	Export Report	The exported data can be viewed in a report.	*W - Workflow or System Configuration Required*	A report can be created to use these same extract parameters.
BD17	Infant Deaths Under 12 Months of Age	Deaths under 12 months of age are considered to be an infant death.	*E - Exact Match*	Standard business rule.
BD18	Review Queue for Infant Deaths	The system provides a queue for infant deaths.	*E - Exact Match*	This would be part of the death system.
BD19	Queue of Death Records for Infants with No Corresponding Birth Record	The system displays a queue of infant death records that have been received for which there are no matching birth records.	*W - Workflow or System Configuration Required*	A work queue to look at the Infant deaths with no match will be create.
BD20	Real Time Option	The user has the option to perform a Birth Death Cross Match immediately after a record is registered in either the birth or death module.	*W - Workflow or System Configuration Required*	The record will be matched when it is registered. Additionally there can be a button on the birth and death screens to allow an instant
BD21	Birth Records	For birth records, the Birth Death Cross Match runs against both in-state and out-of-state death records.	*W - Workflow or System Configuration Required*	This is a common request but will be configured to the states specific fields if necessary.
BD22	Death Records	For death records, the Birth Death Cross Match runs against both in-state and out-of-state birth records.	*W - Workflow or System Configuration Required*	
BD23	Instant Cross Match on Fetal Death	The system automatically searches for a birth record on fetal death records.	*W - Workflow or System Configuration Required*	This can take place during registration.
BD24	Queue Matched Fetal Death	The system will queue any fetal death records that are found to have a corresponding birth record for action by the State.	*W - Workflow or System Configuration Required*	A work queue can be created.
BD25	Display Cases Based on User Selected Criteria	The system searches and displays cases according to State defined searches for cross matching.	*E - Exact Match*	The Match results can be searched or the birth or death records searched.

BD26	Display Enough Information to Determine Match	The system displays enough information for the user to be able to determine if the records match.	*E - Exact Match*	
BD27	Probabilistic Matches	The system provides the functionality to do probabilistic matches.	*W - Workflow or System Configuration Required*	The match system is composed of many match criteria sets. Each Criteria Set has its own selection criteria to match and update the
BD28	Threshold for Possible Match	The system contains the ability to define thresholds for what is considered an exact match, a probable match, a possible match, or a non-match when using probabilistic matching.	*W - Workflow or System Configuration Required*	These are state defined within the Match criteria set.
BD29	OOS SFN	The system recognizes OOS SFN numbers on a OOS record as correct.	*E - Exact Match*	The OOS SFN always has a place in the birth and death records.
BD30	Instant Cross Match on OOS	The system automatically searches for a match for OOS birth and OOS death records when imported into the system.	*W - Workflow or System Configuration Required*	The import process can run the match process.
BD31	Queue for OOS In-State Resident Birth	The system provides a queue that displays OOS birth and death records that do not match to a record in the system.	*W - Workflow or System Configuration Required*	Simple workqueue construction in Birth and Death system.

Description: Probability Match? (Box 5); If no match, record remains in database for future cross-referencing (Box 6); If there is a Probability Match, queue records for review (Box 7); Accept match? (Box 8); If yes, automatically link and mark records through system (Box 12); If no, place in pending queue (Box 9); Research and resolve (Box 10)

The user views the potential match and determines whether to accept the match. If there is no matching record found or if the system-suggested match is not correct, the death record is moved to a pending queue. Each record is researched to resolve the error causing the matching record not to be found. A query is used wherever appropriate. Any necessary data is keyed for records missing a matched record.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
BD32	Review Queue for "Probabilistic Match"	The system provides a queue that displays matches with a threshold percentage indicating a probabilistic match.	*W - Workflow or System Configuration Required*	The match results system contains the records that have matched, and those that were below the threshold. A number of queues can be
BD33	Manual Searches, Birth	The system provides the ability for the user to manually search the birth file for a record and, if the record is located, create a link between the birth and death records.	*E - Exact Match*	We have this capability in the match system by the user doing an Forced match from the match system using the birth record key.
BD34	Manual Searches, Death	The system provides the ability for the user to manually search the death file for a record and, if the record is located, create a link between the death and birth records.	*E - Exact Match*	
BD35	Update Automatically Once Matched	The system automatically updates both records with the appropriate State defined information once a birth and/or death record is manually matched.	*E - Exact Match*	This exact specification will be detailed, but this is a standard feature of the match system.
BD36	Birth Record Associated with Death Record	The system allows a user to easily navigate from a birth record containing a deceased indicator to view the associated death record.	*E - Exact Match*	This is standard Linking from birth to death or from death to birth.
BD37	Death Record Associated with In -State Birth Record	The system allows a user to easily navigate from a death record for a state-born person to view the associated birth record.	*E - Exact Match*	This is standard Linking from birth to death or from death to birth.
BD38	Birth Place Listed as "In-State" but Birth Record Not Found"	If the birth place is listed as "in-state" but a birth record is not found, the system may allow the State to select an indicator accepting the lack of a birth certificate and the system may not display this record again in cross match.	*W - Workflow or System Configuration Required*	A matching status indicator can be part of the selection criteria for records to be tried to be matched.
BD39	View Matches Side by Side	The system provides the ability to view the demographic portion of each record that is a potential match side by side for comparison purposes.	*E - Exact Match*	A birth and death record can be displayed at the same time.
BD40	Highlight Differences Between Records	When displaying records side by side, the system highlights the fields that do not match.	*N- Cannot Meet*	
BD41	Periodically Re-Run Cross Match Against Unmatched Records	Flagged records (no match found) are periodically re-ran against the birth database in case of an addition or change in the content of the birth records. The State sets the length of the period where a record is in queue for automatic re-matches.	*W - Workflow or System Configuration Required*	This would be a scheduled job for the Match.
BD42	Reject Birth/Death Match	The system provides the functionality to decline a birth/death match, despite a successful electronic match, and replace it with a selection of a record from the queue by the user.	*E - Exact Match*	A match can be reversed and a new match forced.
BD43	Refuse Birth/Death Match	The system provides the functionality to decline the birth/death match, despite a successful electronic match, and refuse a match with any record.	*E - Exact Match*	A match can be reversed and a new match forced.

Description: Update selected fields on birth record and death record (Box 14)

Once potential matches are confirmed, the system links the corresponding birth and death records. Any needed data fields are updated between the birth and death records (e.g. infant death data, cross-matched state file numbers). The birth record is updated with a "Deceased" flag, and the death record is updated with a "Matched to Birth Record" indicator.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	Comments

BD44	**Exact Matches**	Exact matches between the system's birth and death records are automatically linked.	***E - Exact Match***	
BD45	**Positive Acceptance**	The system asks the user to acknowledge acceptance of each cross match in a queue of records that may contain "no match" records.	***W - Workflow or System Configuration Required***	The match system results contain the NO MATCH records and the probable matches. The appropriate work queues will be created and
BD46	**Update Birth Record**	Upon completion of the cross match, the system adds the State defined information to the record. Traditionally, this includes adding the death certificate number, year of death, and state of death to the birth record.	***E - Exact Match***	Updating the cross matched records with values from the other record is standard.
BD47	**Manually Add Information**	The system allows a user to manually add the death certificate number, year of death, and state of death to a birth record upon completion of the cross match.	***W - Workflow or System Configuration Required***	This happens automatically, but we have screens to do this also.
BD48	**Match Record Manually**	The system provides the State user the ability to match a close-matching record manually in a queue of records that may contain "no match" records.	***E - Exact Match***	This is the Force Match capability for a record the user has identified even if the Match system did not identify it as a match or even a
BD49	**Place Records in Pending Queue**	Records that the user chooses to research further are placed in a pending queue. The "no match" flag is not removed from the record.	***W - Workflow or System Configuration Required***	We can add a PENDING flag/status to the Match results system to easily accommodate this mechanism and capability to see in a queue
BD50	**Apply "Deceased" Indicator to Birth Record**	If a match is found, the system applies a "Deceased" indicator to the birth record.	***E - Exact Match***	
BD51	**"Matched to Birth Record" Status on Death Record**	If a match is found, the system updates the status of the death record to "Matched to Birth Record"	***W - Workflow or System Configuration Required***	We have a number of indicators that can be tailored to the state requirements.
BD52	**Update Death Certificate with Birth State File Number**	The system updates the death certificate with the birth state file number.	***E - Exact Match***	
BD53	**Manually Add Information**	The system allows a user to manually add the birth state file number to a death record upon completion of the cross match.	***E - Exact Match***	Our Birth and Death system have these screens.
BD54	**Allow User to Remove Cross Match**	If a birth and death record have been linked in error, the State user is able to remove the link. The birth record number is removed from the death record and the death record number is removed from the birth record. The associated flags are removed.	***E - Exact Match***	We have a reverse operation in the Match.
BD55	**"Deceased" Printed Across Record on All System Records**	If a match is found and the record is in the system, the system prints "Deceased" in a State defined place on any copy of the certificate that is printed.	***E - Exact Match***	Standard practice for deceased birth records.

Description: Match found? (Box 11); If yes, automatically mark and link the records through the system (Box 12); If not matched, remove from queue (Box 13);
Records that do not have a match are removed from the pending queue.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
BD56	**Review Queue for "No Match"**	The system provides a queue that displays matches with a threshold percentage indicating "not a match."	***W - Workflow or System Configuration Required***	Queue can be tailored to your percentage for 'Not a Match'.
BD57	**Allow User to Remove Unmatched Record from Queue**	If a record has been found to not match another record, the system allows the user to remove the record from the queue.	***W - Workflow or System Configuration Required***	The match system criteria can use this field and status to not try that record in the match in the future. This will remove it from the
BD58	**"No Match" Indicator**	The system provides a "no link"/"no match" filter so older deaths are removed from the Birth Death Cross Match process.	***W - Workflow or System Configuration Required***	The match system criteria can use this field and status to not try that record in the match in the future. This will remove it from the
BD59	**Print Statistical Copies without Impacting Copy Limit**	The system allows for printing of statistical copies for inter-jurisdictional birth and death matching and other statistical needs.	***E - Exact Match***	The copy limit is only engaged for specific documents as specified by the state. Statistical copyies are not in this limit or its calculation.

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

OVERVIEW OF THE BUSINESS PROCESSES FOR ENTERING AND PROCESSING ISSUANCE

The Issuance process allows the State and County to provide the public with certified birth, death, and record information about births and deaths in the State. The Issuance process is also the manner in which the State fulfills requests for non-certified copies from other agencies and eligible entities, as well as no-cost certified for eligible entities. Requestors are not charged for the request until eligibility has been determined; all requestors are charged for the request at the State, regardless of eligibility or availability. Events for State residents that have been registered by other states may not be issued by the State.

Vital event information is sensitive and may only be given to those entitled to the information. The Issuance process may be initiated in a variety of ways:

1. Through a walk-in request by a customer at the State or county
2. Through a mail request by a customer
3. Through the Vital Records system by an authorized user
4. Through phone or the internet order website by a customer (VitalChek)

The steps for processing the request are the same once the request is entered into the system. The initial steps of receiving the request and corresponding fees vary depending on the method used for initiating the request. The system user reviews the paper request form to determine the eligibility of the requestor. If deemed eligible to receive the information being requested, the State fulfills the request utilizing the system. For certified copies, requests may be mailed to the requestor or delivered in person.

The public may initiate a request through VitalChek or the State website. These requests are reviewed for eligibility and routed directly to the State for processing.

NAPHSIS use case models associated with this flow include:
MVRS UC 009 v. 13 - Request for Information
MVRS UC 010 v. 1.4 - Responder Responds to RFI
MVRS UC 012 v. 1.5 - Search
POS UC 001 v. 1.3 - Enter a Request
POS UC 002 v. 1.4 - Produce a Copy
POS UC 003 v. 1.3 - Update a Request
POS UC 004 v. 1.3 - Auto Print
MVRS Certification/Point of Sale white paper
POS System Specifications & Business Rules v. 4.0

BUSINESS PROCESS: ISSUANCE - COUNTER

Customers requesting certified copies of records or other types of transactions may complete a paper application and submit the application at the counter. The State reviews the application and any supporting documentation to determine the customer's eligibility for the request. If the customer is not eligible, (s)he is denied and the process is done.

If the customer is found to be eligible, the paper application for the request is entered into the system. The customer is charged any associated fees and a receipt is issued through the system. The system creates a PDF of the receipt and attaches it to the request record. Any supporting documentation for the request is scanned and attached to the request.

The system user searches for the record. If the customer does not have all of the appropriate documentation, the electronic application and request are held in a pending queue until the appropriate documentation is produced. A letter describing what is needed is printed and handed to the customer and (s)he is informed of the needed documentation. If the record is not available for issuance, the electronic application and request are held in a pending queue until the record is available in the system. A letter is printed and handed to the customer and (s)he is informed that the record is not yet available.

Once the customer returns with the appropriate documentation or the record becomes available, the request is filled. The system user searches for the record and scans and attaches any additional documentation that may have been provided. The system user completes and QA's the order. The system user reviews the order to check for any issues prior to printing certified copies. If there are issues with the order once the certified copy is printed, the certified copy is voided and re-issued. If there are no issues with the order, the certified copy is released. At this point, any additional requests that the customer has requested are processed.

Description: Customer presents paper application (Box 1); State checks eligibility (Box 2); Eligible? (Box 3); If no, print rejection letter (Box 4)

The system user reviews the application and the documentation presented by the requestor to determine eligibility for the request. If it is determined that the requestor is ineligible for the record, the system user provides the requestor with a rejection letter printed from the system and informs the requestor that they are ineligible. If the requestor is eligible for the request, the system user will begin to enter the request in the system (see Box 5).

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS1	User Log In	Please see the General Requirements section B -User Authentication for rules related to user log in		
ISS2	User Profiles	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in		
ISS3	Record Ownership and Access	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access		
ISS4	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning		
ISS5	Search Rules	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules		
ISS6	Queues Rules	Please see the General Requirements section N - Queues for rules of queues		
ISS7	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
ISS8	Provide Eligibility Prompts	The system displays the State defined documentation required by type of request to substantiate the request under consideration.	*W - Workflow or System Configuration Required*	This can be a message displayed when the request event is selected. Or can be displayed when the service is selected.
ISS9	State Issuance	The State can issue for all West Virginia events.	*E - Exact match*	Standard and default condition.
ISS10	State Cannot Issue Record Without SFN	Records with no state file numbers cannot be issued at the State.	*W - Workflow or System Configuration Required*	Associated with the OOS records for birth and death.
ISS11	Request with No State File Number	The State can enter a request into the system for a record with no state file number.	*E - Exact match*	No criteria against that entry because it might not be numbered yet.
ISS12	Forward Request	A request for a record with no state file number is automatically forwarded to the county's queue in which the event occurred.	*W - Workflow or System Configuration Required*	The user can choose to transfer and allow another county to process the record. When the event record is displayed, the appropriate county is kept internally in
ISS13	Remove Records from County Queue	Records in the county queue will be removed from the queue after a State defined period of time.	*W - Workflow or System Configuration Required*	A batch job can run to clean up the county queue.
ISS14	Eligibility Prompts Options	The system allows eligibility prompts to be turned on and off based on user roles and abilities.	*W - Workflow or System Configuration Required*	The security functions associated with the user's Function Group can allow or disable the eligibility prompts.
ISS15	Generate Letter	A letter is generated by the system informing the customer of the additional eligibility requirements. The letter includes the request tracking number.	*E - Exact match*	Any letter can be generated from the Request. It contains paragraphs of information that the operator simply chooses from a series of dropdowns
ISS16	Denial Reasons May be Confidential	The denial reason may be confidential and, as such, is not revealed to the customer. In these cases, the denial reason is not printed on the letter.	*W - Workflow or System Configuration Required*	The operator has the ability to choose what letters and information in those letters are sent to the customer.
ISS17	Update Order Record Status and Send to Pending Queue	If the eligibility of requestor is uncertain, the system updates the record status and sends to a "pending" queue for a State determined period of time in order to allow the requestor to provide additional information demonstrating eligibility.	*W - Workflow or System Configuration Required*	There are a number of fields on the request that can be used to include the records in a work queue.
ISS18	Reason Code	The user selects a reason code for placing the request in the pending eligibility queue.	*W - Workflow or System Configuration Required*	A comment field can be used to document all of the stages and conditions of the record.
ISS19	Update Eligibility	The system provides the ability to update the request with additional documents and/or information received from the requestor to support eligibility.	*E - Exact match*	The record can be updated as needed and documents scanned and attached.
ISS20	Close Request	The system allows a system user to close a request if it is apparent the requestor is not eligible for the record.	*W - Workflow or System Configuration Required*	Status can have state defined values to signify appropriate status.
ISS21	Update Status When Eligibility is Established	The system updates the status of the request to "validated" or equivalent when eligibility is established so that the request can be processed.	*E - Exact match*	
ISS22	Scan Multiple Documents	The system allows the user to scan any amount of documentation associated with a record and attach them to a request record.	*E - Exact match*	
ISS23	Notes in Request	The system provides the ability to make notes within the requested record.	*E - Exact match*	

Description: User creates application and request in EVRS and scans supporting documents (Box 5)

If the requestor is eligible, the system user enters the application and creates the request in the system. The system user selects the type of request in the system (e.g. certified copies, amendment, delayed birth) and completes the request by entering the requestor and requested information. If the system user determines that this is not a new request, the system user accesses the pending request to complete the transaction.

	Business Rule Name	Business Rule Description	Vendor Response	Comments
General Rules				
ISS24	User Log In	Please see the General Requirements section B - User Authentication for rules related to user log in		
ISS25	User Profiles	Please see the General Requirements section C - Roles, Profiles and Institutional Affiliations for rules related to user log in		
ISS26	Record Ownership and Access	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
ISS27	E-Notary	Please see General Requirements T - Electronic signature and E-Notary for rules related to e-notary and electronic signature.		
ISS28	Scanning	Please see General Requirements A - User Technical Environment, regarding rules related to scanning.		
ISS29	Search Rules	Please see the General Requirements, section M - Searching and Matching, for search and duplicate checking rules.		
ISS30	Queues Rules	Please see the General Requirements section N - Queues for rules of queues		
ISS31	Sorting and Filtering	Please see the General Requirements section N - Sorting and Filtering for rules regarding sorting and filtering		
ISS32	Read Magnetic Stripe	The system allows integration with software that reads a driver's license three-dimensional barcode, and also magnetic stripe to document identity verification.	W - Workflow or System Configuration Required	The cursor is put into the Barcode field and the drivers license is scanned. When the user tabs off the field, the name, address, etc is filled in from the information
ISS33	Provide Method of Indicating Documentation Submitted	The system provides the user with a method of indicating the State defined documents that have been submitted with the request, including document number if appropriate.	W - Workflow or System Configuration Required	Fields are added to provide this capability.
ISS34	Edit Check	The system edits the request based on State defined edits.	E - Exact match	The state defined edits will be configured.
ISS35	Option to Process Immediately	The system provides the option to process a request as soon as it is entered into the system or to send it to a queue for later processing.	E - Exact match	Basic queue mechanism.
ISS36	Supervisory Override	If the system user believes that the system evaluation of acceptability of the request should be overridden, there is a function to allow a supervisor to enter an approval code for the override. This includes "one time issue."	W - Workflow or System Configuration Required	The request contains the information on whether the searching and printing can continue. The operator will enter that field as a result of their decision on the documentation.
ISS37	Supervisory Override for "Do Not Issue"	A supervisory override is required for changes to "do not issue" flags.	E - Exact match	We have do not issue flags on the birth and death records that are overridden with a modification or correction type on those records.
ISS38	Temporary Supervisor	Temporary supervisors can be defined in the system and provided with the same privileges as a full-time supervisor.	E - Exact match	Standard ability to add users and assign function and GUI groups.
ISS39	Supervisory Override - Comment Box	The system provides a comment box for the supervisor to enter the reason for the override.	W - Workflow or System Configuration Required	Fields are added to provide this capability.
ISS40	Audit Trail for Use of Override	The system provides a daily audit trail that details the use of the "fee override" by employee.	W - Workflow or System Configuration Required	This would be a report on the services that were overridden.
List of Queues				
ISS41	Pending Queue	The system provides a queue for certificate requests that have been previously started.	E - Exact match	Basic Pending Application queue.
ISS42	Ready to Issue Queue	The system provides a queue for certificate requests that are ready to be issued.	E - Exact match	Workqueue has been provided for this in our other states.
ISS43	Counter Orders Queue	The system provides a work queue for counter orders.	E - Exact match	Workqueue has been provided for this in our other states.
General Request Rules				
ISS44	Check Payment Amount Against Total Due	If the total amount due and the payment amount are not equal, the system prompts the system user to resolve issue.	E - Exact match	This prompt actually stops the user from searching for the event record.
ISS45	Payment on Account	The system user has a mechanism for marking that the request is being invoiced to the requestor at a later date.	E - Exact match	Billing and invoicing is a standard feature of our Correspondence Accounting System (CAS).
ISS46	Quick Data Entry	The screens to enter in request and requestor information are designed in such a way as to make data entry at the counter as fast as possible.	E - Exact match	
ISS47	Display List of Request Types	The system displays a list of items that can be requested.	E - Exact match	
ISS48	Multiple Transactions for One Applicant	The system will allow one applicant multiple transactions if requested.	E - Exact match	
ISS49	Track Applicant	The system will track information on applicants and application information.	E - Exact match	
ISS50	State Defined List	The list of items to be requested is defined by the State.	E - Exact match	
ISS51	State Defined Request Types	The list of request types is defined by the State.	E - Exact match	
ISS52	Source of Request	The system provides a State defined list for the clerk to specify the source of the request (e.g. counter, mail).	E - Exact match	

ISS53	Request Number	The system assigns a State defined unique system-generated sequential number to each request.	E - Exact match	
ISS54	Allow Multiple Selections	The user may select more than one item in a single request.	E - Exact match	
ISS55	Specify Issuance Type and Quantity	The system may prompt the user to specify the issuance type and quantity of items requested.	E - Exact match	
ISS56	Display Appropriate Request Form	Different information may be entered for different request selections. The display may be specific to the type of request selected.	W - Workflow or System Configuration Required	Data entry fields are protected depending on the states edits.
ISS57	Purpose of Request Options	Certificate request requires the user to enter the purpose of the request from a drop down menu, with a list of State defined options such as personal records, legal purposes, inheritance/estate settlement, government assistance/benefits, insurance/pension, or retirement, and the option of selecting "other."	E - Exact match	
ISS58	System Fields	If "other" is selected for the purpose of the request, a mandatory description field is provided for entry of the purpose.	E - Exact match	
ISS59	Enter Requestor Information	The system provides fields to store information entered about the requestor and the request including name and address information of the requestor and State defined delivery options.	E - Exact match	
ISS60	List of Frequent Requestors	The system maintains a list of frequent requestors that the system user may access to auto-populate the requestor information (such as funeral homes).	E - Exact match	
ISS61	Requestor Address Field Mandatory	The Requestor address fields require mandatory entry.	E - Exact match	
ISS62	Different Mailing Address	The system allows the user to enter a mailing address that is different from the address of the requestor.	E - Exact match	
ISS63	Foreign Address	The system allows entry of a foreign address for the requestor address.	E - Exact match	
ISS64	Requestor Email Address	The system allows the entry of the requestor's email.	E - Exact match	
ISS65	Multiple Addresses	The system provides the ability for the user to enter multiple mailing addresses for an order and associates the addresses with each transaction; so certified copies and other documentation can be mailed to more than one place.	E - Exact match	The applicant address can be used and each Request has a mailing address associated with it.
ISS66	Requestor Relationship	The field for the relationship of the requestor to the records being requested is a pre-defined, State-managed list that includes "other."	E - Exact match	
ISS67	"Other" Requestor Relationship	The system opens a text field when "other" is selected for the Requestor Relationship field.	E - Exact match	
ISS68	"Other" Requestor Relationship Scan Option	Additional documentation supporting the relationship of the requestor may be scanned and attached to the request. Examples of additional documentation include Power of Attorney or Guardianship.	E - Exact match	
ISS69	In Care Of	The system provides an address field marked "In care of" for requests when the requestor is not the person on the certificate.	E - Exact match	The fields exist for this purpose. The title is dependent on the state.
ISS70	Docket Number	The system provides a place to enter the docket number for court-ordered requests.	E - Exact match	
ISS71	"Other" Relationship	For all request types, if "other" is selected for relationship, the description is mandatory.	W - Workflow or System Configuration Required	These type edits are determined by the state.
ISS72	Comment Field	The system provides a comment field for users to enter notes or comments that can be viewed by other system users.	E - Exact match	
ISS73	Order Items Other Than Certified Copies	The system allows items other than certified copies (e.g. "No Record Found" letters) to be ordered.	E - Exact match	
ISS74	Designate Fee Split	The system includes the capability for the State to designate a fee split with other entities (e.g. Jurisdiction 1 and Jurisdiction 2).	E - Exact match	
ISS75	Funds Allocated into Separate Accounts	The system provides the ability to distribute State defined funds from each transaction into separate accounts (e.g. certified copies are distributed into three (3) separate accounts).	E - Exact match	
ISS76	Fees into Multiple Accounts	The system allows for fees associated with certified copies of records to be split and allocated into multiple separate accounts at the State.	E - Exact match	
ISS77	County Fees	For county issuance off of the EVRS, fees will be allocated at the State.	E - Exact match	The county entry will use the Funds determined by the state. These are housed in the caservicefee table. Each county can have a different allocation to the
ISS78	Override Charges	The system allows a designated user, based on user role, to override or waive a charge for a transaction that normally has a fee, if, for some reason, the office chooses not to charge the requestor.	E - Exact match	
ISS79	Waived Fee Comment Field	If a fee is waived, the system displays a comment field for the user to enter an explanation regarding why the fee was waived.	E - Exact match	
ISS80	Refund Charges	The system allows a designated user, based on user role, to refund a charge for a transaction.	E - Exact match	
ISS81	Unique Identifier	Each type of request in the system has a unique identifier.	E - Exact match	
ISS82	Indicator for Replacement Copies	Replacement copies have an indicator in the record to indicate that the certified copies are replacements.	E - Exact match	

ISS83	Count Replacement Copies	The system will record a count of replacement copies retrieved.	*E - Exact match*	The service table houses all of this information.
ISS84	Indicator for Free Copies	Free copies have an indicator in the record to indicate that the certified copies are free.	*E - Exact match*	
ISS85	Count Free Copies	The system will record a count of free copies issued per certificate.	*W - Workflow or System Configuration Required*	A report can be run to display these. They are kept in the document tracking table and joined to the service table to see which are free.
ISS86	Limit Free Copies	The system will place a State-defined limit on how many free copies each certificate is eligible for. A flag is raised when a certificate has reached its limit.	*W - Workflow or System Configuration Required*	This same mechanism is used for the Normal copies. It can be modifed to account for free copies also.
ISS87	Eligibility for Free Copies	The list of customers eligible for free copies is defined by the State.	*E - Exact match*	
ISS88	Supervisory Approval Needed	With the exception of funeral home requests, the system requires supervisor approval for replacement copies.	*W - Workflow or System Configuration Required*	The services will determine if supervisor approval is needed. The operator should choose appropriate services if it is a funeral home so no approval is
ISS89	Fee for Replacement Copy	The system includes a fee for replacement copies. This is a feature the State can turn on or off.	*W - Workflow or System Configuration Required*	Choosing the correct service fee type will determine the fee or not.
ISS90	Limit on Replacement Copies	The system will place a State-defined limit on how many replacement copies each customer is eligible to order within a State-defined period of time. A flag is placed on the record when a limit is reached.	*W - Workflow or System Configuration Required*	This special edit will be calculated using the Customer billing account and their previous services for that time period.
ISS91	Alter Requests	The clerk can alter the request as long as it has not been completed and closed.	*W - Workflow or System Configuration Required*	Various parts of the request can be updated after it is completed. Such as the flags about the mail being returned and notes and workqueue fields.
ISS92	Reopen Closed Request	An authorized user can reopen a closed request.	*E - Exact match*	
ISS93	ID Number	The system prompts the user to enter the ID number for an applicant.	*E - Exact match*	
ISS94	ID Verification	The system provides an indicator for a system user to indicate on the request that the applicant's ID has been verified.	*W - Workflow or System Configuration Required*	Various fields can be used to verify the operator actions with regards to the license or ID.
ISS95	Signature for Request Verification	The system provides an indicator for a system user to indicate that a signature has been applied to a request form.	*W - Workflow or System Configuration Required*	Additional field to indicate signature was present.
ISS96	Issue Bulk	Request for bulk information or records are linked to the records that are printed.	*W - Workflow or System Configuration Required*	
Issuance Rules by Event				
ISS97	Death Certificate Fields State Defined	The fields for a death certificate request are State defined.	*E - Exact match*	
ISS98	Cause of Death Documentation	The system includes fields to designate the relationship of the requestor to the decedent.	*E - Exact match*	
ISS99	Birth Certificate Fields State Defined	The fields for a birth certificate request are State defined.	*E - Exact match*	
ISS100	Birth Certificate Printing	The system allows the user to assign the record to a specific County office for printing of the birth certificate.	*E - Exact match*	
Request Rules for Amendments				
ISS101	Specific Requests for Amendments	All amendments begin with a request and the request is linked to the amended record.	*E - Exact match*	The applicantid and requestid are stored in the change request amendment record.
ISS102	Search Fee Includes Copy	The search fee includes one certified copy.	*E - Exact match*	
ISS103	Make Correction Without Creating Amendment Request	The system allows an authorized user to make a correction to a registered record without creating an amendment request. Example of such a correction is a typo or misspelling of a name. The correction must be verifiable through the attached documentation from the facility.	*E - Exact match*	This is the requests...correction process from the event record.
ISS104	Birth Amendment Types	Birth amendments types are State defined. The system will provide a method of selecting the type of amendment request. The list is State defined and examples include: *Corrections *Paternity Affidavit *Adoptions *Legitimations	*E - Exact match*	
ISS105	Death Amendment Types	Death amendments types are State defined. The system will provide a method of selecting the type of amendment request. The list is State defined and examples include: • Corrections • Court Orders • Pending Cause of Death	*E - Exact match*	
Additional Amendment Request Rules				
ISS106	Role Determines List User Sees	The specific list of amendment types available to a user is based on the authorities granted by his or her assigned role.	*W - Workflow or System Configuration Required*	
ISS107	Include Original Document Number	The amendment request record includes the state file number of the original document being amended.	*E - Exact match*	
ISS108	Search for Amendment Request	A user may search for an amendment request by State defined fields such as mother's maiden name.	*E - Exact match*	
ISS109	Amendment Request Record	The system creates a record with details about the requestor and the amendment request.	*E - Exact match*	This is the change request system records.

ISS110	Record Amendment Type and Relationship	The system records the amendment type and the relationship of the requestor to the person named in the record for each amendment.	W - Workflow or System Configuration Required	
ISS111	Assign Amendment Tracking Number	The system assigns an amendment request tracking number to each amendment request.	E - Exact match	
ISS112	Amendment Numbers Sequential	Amendment request tracking numbers are assigned sequentially by the system as a way of making each amendment request unique. Numbering resets at the beginning of each year.	W - Workflow or System Configuration Required	There are various tracking number available for the Amendment process. They can be reset at the beginning of the year.
ISS113	Time Stamp Requests	All amendment requests are time stamped by the system when initiated.	W - Workflow or System Configuration Required	Date is usually kept. Time is available to be kept also.
ISS114	Fee for Amendment	Amendment fees are table driven and State defined.	E - Exact match	
ISS115	Read-Only	Amendment screen auto-populates with current data in read-only format.	E - Exact match	
ISS116	Enter Amendment Type	The system provides a State defined list that allows the user to select the amendment type.	E - Exact match	
ISS117	"Customer Waiting" Flag	The system provides a method by which the user can indicate that the request is for a correction AND the customer is waiting. This is only applicable to corrections.	W - Workflow or System Configuration Required	Specific flags and dropdowns are available in CAS for this convenience.
ISS118	Affidavit Pre-Populated	If an affidavit is required; the system will auto-populate the necessary information from the request application.	E - Exact match	The Affidavit is a separate event and therefore can be populated from another event.
ISS119	Affidavit	Any fields on the affidavit that could not be auto-populated are open for the user to complete the data entry of the information.	E - Exact match	Fields are generally open to entry unless the state specifies they are protected.
ISS120	Affidavit Attached to Request	The affidavit is linked to the original request.	W - Workflow or System Configuration Required	
ISS121	Print Affidavit	The user may print the affidavit directly from the system once the record is registered.	E - Exact match	Prints from events are standard practice.
ISS122	Scan Signed Affidavit	The signed affidavit is scanned and attached to the record.	E - Exact match	
ISS123	Flag Record to be Amended	Amendment requests automatically flag the record to be amended to prevent certified copies from being printed on the associated record.	E - Exact match	During the change request process the event record is flagged.
ISS124	Partial Fee Paid	Amendment requests automatically flag the record to be amended to prevent certified copies from being printed on the associated record even if there is money due on the request.	W - Workflow or System Configuration Required	Normally the request does not get this far unless the money is taken care of. But this can be configured as specified.
ISS125	Cannot Process Amendment Without Recording Fee	The Amendment Process and the Request Process are tied in such a way as to prevent amendments from being processed without going through the Request Module first. This is not the case for corrections.	E - Exact match	Simple corrections are enacted from the event record. The change request process allows for the changed to be entered and the amendment done automatically to the event record.
ISS126	Certified Copies	Certified copies for the amended record may be requested at the same time as the request is made for the amendment and will be part of the same request.	E - Exact match	
ISS127	Pending Request Queue	Certified copies for the amended record remain in the pending request queue until amendments are completed.	E - Exact match	
ISS128	Link to Original	Certified copies for the amended record in the pending request queue are linked to the original record to ensure that issuance occurs after the request is completed.	E - Exact match	The status of the request record is changed to stop the processing during the amendment process and when completed, the request flags are set to continue
ISS129	Amendment Fee Waived	The fee for an amendment may be waived by an authorized user.	E - Exact match	Any fee can be waived if the state specifies the types of services.
ISS130	Reason for Fee Waiver	The system provides a list of options for the user to choose from to indicate the reason the amendment fee was waived (i.e. fee waived for veterans or the department of Veterans Affairs).	E - Exact match	
ISS131	Insufficient Fees	The system allows an authorized user to process an amendment even though the full amount of the fee has not yet been received.	W - Workflow or System Configuration Required	Normally the event record cannot be searched if the balance on the request is not 0. This can be configured to allow this.
ISS132	Apply "Money Owed" Flag	If an amendment is processed without collecting the full fee, the record is flagged to prevent issuance of certified copies of that record until such time as the remaining money is collected through the system.	E - Exact match	On the Printing Document definition, the menu item to print the certified copy is dependent upon 0 balance so that the record cannot be printed with that document (certified copy).
ISS133	Dollar Field Tied to "Money Owed" Flag	A dollar amount field is tied to the "money owed" flag, which is cumulative based on the amount of fees associated with the record; the field provides the user the ability to enter the amount due.	W - Workflow or System Configuration Required	A money owed flag and amount can be added to the event record to ensure that if someone requests that record and does not pay, nether person can get a printed copy until both parties pay for their services.
ISS134	Additional Payments	When additional monies are received for an amendment, they are added to the request record.	W - Workflow or System Configuration Required	
ISS135	Remove "Money Owed" Flag	Once the full fee has been collected, the "money owed" flag is removed and the printing of certified copies is allowed.	W - Workflow or System Configuration Required	
ISS136	Scan Documentation to Request	State defined forms and supporting documentation must be scanned and attached to the request (e.g. an application).	E - Exact match	
ISS137	Scan Documentation to Record	State defined forms and supporting documentation must be scanned and attached to the record (e.g. an affidavit).	E - Exact match	
ISS138	Additional Information Required	The system allows the user to print a letter requesting additional information/documentation from the requestor.	E - Exact match	
ISS139	Message to State	As soon as an amendment request is started at the county office, the system sends a message to the State informing them of the pending amendment request.	W - Workflow or System Configuration Required	

Description: Receipt money? (Box 6); System generates invoices (Box 7); Money receipted in the State or County system (Box 8); Print receipt (Box 9); Go to Issuance Flow

Most requests have fees associated with them. The fee amount is determined when the system user selects the requested service from a list of options. The fee is collected from the requestor and the payment may be receipted in the EVRS system.. In either case, the payment must be recorded in the EVRS in order to complete the transaction. Customer receipts may be printed or emailed to the customer. Once complete, the user will proceed to the Issuance: Fulfillment flow.

For requestors who have a charge account, charging is an acceptable form of payment. If the request is a charge transaction (generally for interagency or funeral home transactions), the charge is recorded in the system. The system computes the total fee and may provide the option to indicate that the amount due will be invoiced to the requestor at a later date. Alternatively, the payment may be receipted at the time of the request.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS140	Payment Information	The user enters payment information.	***E - Exact match***	
ISS141	Payment Types	Forms of payment are State defined.	***E - Exact match***	
ISS142	"Money Owed" Flag	If a billable account request is processed on a record with a "money owed" flag, the request is processed without resetting the flag.	***E - Exact match***	The overdue or money owed flag is on the Company Billing record. Only when the invoice is paid will the flag come off.
ISS143	Receipt Number	The receipt number is automatically assigned by the system.	***E - Exact match***	
ISS144	Receipt Date	The receipt date is automatically assigned by the system.	***E - Exact match***	
ISS145	Determine If Fee is Correct	The system determines if the payment entered is sufficient to pay for the services requested.	***W - Workflow or System Configuration Required***	
ISS146	Itemized Receipt	The system allows a user to print an itemized receipt for a requestor at the time the payment is entered in the system.	***E - Exact match***	
ISS147	Always Print Receipt	The system allows printing of a receipt regardless of completion of the order.	***E - Exact match***	
ISS148	Receipt - State Defined	The format of the receipt is State defined.	***E - Exact match***	
ISS149	Receipt Format	The receipt prints in such a way that the requestor information shows through a window envelope for mailing.	***E - Exact match***	
ISS150	Email Receipt	The system allows the user to email a receipt to the recipient.	***E - Exact match***	
ISS151	Accommodate Different Fees	Fees are table driven to allow the accommodation of different fee structures for different items.	***E - Exact match***	The caservicefee table houses all the services and prices.
ISS152	Fee May be Zero	The system allows some items with supervisor approval (such as replacement copies) to have a fee of zero.	***E - Exact match***	
ISS153	Compute Total Amount Due	The system computes the total amount due for all items requested plus special handling fees.	***W - Workflow or System Configuration Required***	Have not had a recent state have handling fees. These could be a separate service. Or a separate field.
ISS154	Enter Reference Information	The system provides a location to enter reference information about the payment.	***E - Exact match***	
ISS155	Multiple Requests Totaled	If a customer has requested multiple records, certificates, and/or other items, the total cost of all items is calculated by the system.	***E - Exact match***	
ISS156	Search Fee	There is a charge for a record search, regardless of the outcome.	***E - Exact match***	This is state determined
ISS157	Refund Search Fee	The system allows authorized users, based on user role, to issue a refund for search fees.	***E - Exact match***	
ISS158	Fee Determined by State	The record search fee at the State and County is determined by the jurisdiction State.	***E - Exact match***	
ISS159	Record Check Number	If a payment is by check or money order, the user records the check number in the request record.	***E - Exact match***	The request (payment record) contains the apyment
ISS160	Check "Bad Check" Indicator	The system checks to see if any previous request records for the customer in question include a "bad check" indicator. If so, this information and the amount of the bad check(s) are displayed for the user.	***W - Workflow or System Configuration Required***	The fact that the billing customer had a bad check is displayed with an alert and message. Currently the amount is not displayed.
ISS161	"Bad Check" Designation	The system allows an authorized user to designate that a bad check was received from a requestor.	***E - Exact match***	Multiple ways to signify this. In the request record and in the Company table.
ISS162	Bad Check Debt Cleared Before Another Order	If a requestor has tendered a bad check and requests another order, the system requires the requestor to use another form of payment.	***E - Exact match***	
ISS163	Supervisory Override for "Bad Check" Indicator	The "bad check" indicator will remain on until it is removed by a supervisor.	***E - Exact match***	
ISS164	"Bad Check" Indicator - Credit Card or Money Order	If a "bad check" indicator has been detected, the system may allow the user to only accept funds in the form of cash, credit card, or money order.	***E - Exact match***	The type of funds is determined on the company record.
ISS165	Bad Check Information from Finance	The system can import a list of "bad check" requestors from Finance.	***W - Workflow or System Configuration Required***	Format needed.
ISS166	Multiple Payment Types	The system provides the functionality for the user to accept multiple forms of payment from the customer at the counter.	***W - Workflow or System Configuration Required***	
ISS167	Mailing Fees Associated with Collection Code	Special handling fees and mailing charges are associated with specific collection codes for distribution reporting.	***E - Exact match***	These would be attached to services.
ISS168	State Credit Card Merchant Integration	The system integrates with the State's Treasury system for credit card transactions, providing charge transaction capabilities and transaction information to the system.	***M - Modify***	

ISS169	County Credit Card Merchant Integration	At the counties, the system integrates with the State's Treasury system for credit card transactions, providing charge transaction capabilities and transaction information to the system.	*M - Modify*	
ISS170	Receipt	The system provides the ability to print out a credit card receipt as part of, or in addition to, the EVRS receipt.	*M - Modify*	
ISS171	Print Credit Card Receipt from System	The system allows the user to print a credit card receipt for the customer to sign.	*M - Modify*	
ISS172	Change Due	If the amount paid is more than the fee, the system will display the change due.	*W - Workflow or System Configuration Required*	We have this ability in the payment record for cash to aid the staff person in figuring change. It can be expanded for other types of money.
ISS173	Move to Fulfillment Queue or Complete in Current Queue	Once the fees have been collected, the user may either move the request to the Fulfillment Queue or complete the request from the current queue.	*W - Workflow or System Configuration Required*	The operator can choose a dropdown to add that to a workqueue.
Billable Accounts				
ISS174	Billable Accounts	For billable accounts, money may be receipted at the State or county. Pay-down accounts are allowed and will have a billable account.	*E - Exact match*	
ISS175	Billable Account Payment Options	For requestors with a billable account, the request can be billed to the account or paid for **in cash upon pickup.**	*E - Exact match*	And if only partially paid, it will go against the current invoice.
ISS176	Duplicate Receipt Numbers	For billable funeral home accounts being paid for at the State, the system automatically applies the same receipt number to all requests being paid for.	*E - Exact match*	The check number will be on all of the payments created in the system for all the requests
ISS177	Multiple Payment Types	For billable accounts, the system allows the user to accept multiple forms of payment from the customer at the State.	*E - Exact match*	
ISS178	"Overdue" Billable Account Flags	Billable accounts noted as "overdue" will be flagged.	*E - Exact match*	
ISS179	Remove "Overdue" Billable Account Flags	The system removes "overdue" flags from billable accounts once the account is current on payments.	*E - Exact match*	
ISS180	Email Invoices	The system will email invoices to accounts; otherwise it will print a paper copy.	*F - Future*	We can email one invoice but cannot invoice and email to multiple accounts from the same run.

END OF ISSUANCE - COUNTER

BUSINESS PROCESS: ISSUANCE - MAIL

Customers may order certified copies by mail. The State opens the envelopes and reviews the order for eligibility and completeness. An application and request are started in the system.

If the customer is not eligible or supporting documents are not included, a rejection letter is generated through the system that can be sent via email or postal mail. The supporting documentation and payment are returned to the customer with the letter. If the customer has sent cash but the order is not eligible, a note is made in the system regarding the amount of cash received, date received, amount returned to customer, date returned, and other State defined information.

If the request is acceptable, the money is receipted in the EVRS. Money receipting options are the same as with a counter transaction. Any supporting documentation for the request and the application are scanned and attached to the request record. The user handling mail transactions may search for the event record and complete the transaction, if authorized to do so. If the record is not found, the system generates a letter stating that the record was not found. Mailing labels are printed from the system.

Please note: The rules for reviewing eligibility, entering data, and payment processing described above apply here and are not repeated.

Description: State opens orders by mail and reviews request for eligibility (Box 1)

Customers may submit requests for certified copies through the US Mail or a special pre-paid couriers (i.e. FedEx, UPS). The State opens the letter upon receipt. The State reviews the request to determine if the basic information needed to process the request and associated fees have been provided. If not, the State enters minimal information into the system to track the request. If the request is accompanied by a cash payment, a note is made in the system regarding the amount of cash received, date received, amount returned to customer, date returned, and other State defined information. All payment forms are returned to the requestor. A letter is generated from the system, pre-populated with information from the request. The State prints the letter and can mail or email it to the requestor with any submitted fees and documentation.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS181	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
ISS182	State Defined Minimum Fields	The fields required to begin a new request are State defined.	*E - Exact match*	
ISS183	Rejection Letter	The user may print a rejection letter if an order cannot be processed.	*E - Exact match*	
ISS184	Returned Request Record for Tracking Purposes	Mail-in requests that are returned to a requestor stay active for a State-defined period of time.	*E - Exact match*	
ISS185	Archive Records	The system allows a designated user to archive request records over a State-defined period of time.	*N- Cannot Meet*	We do not archive records.
ISS186	Note for Cash Returned	If cash is the payment type received on an ineligible order, the user enters a note within the request stating the amount of cash received, date received, amount returned, date returned, and other State defined information.	*W - Workflow or System Configuration Required*	We have various ways to RETURN the money or REFUND the money in the same day. All with reasons and comments.

Description: Complete application? (Box 2); If yes, type request and application into EVRS, select service(s) and scan documents (Box 3); State receipts money, prints or emails receipt (Box 4)

When a request is determined to be complete, the requestor and order information are entered into the system. The fee is calculated in the system for the order, and the user receipts the money received.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS187	E-Notary	Please see General Requirements T - Electronic signature and E-Notary for rules related to e-notary and electronic signature		
ISS188	Mail Request Queue	The system provides a work queue for all mail requests.	*E - Exact match*	

ISS189	Mail Request Queue Sortable Criteria	The mail request queue is sortable by State-defined fields such as the date of the request.	E - Exact match	
ISS190	Quick Entry of Mail Requests	The system screens are optimized for rapid entry of requests received by mail.	E - Exact match	
ISS191	Enter Request Information	The rules for entering the request are the same as those for a counter transaction.	E - Exact match	
ISS192	Enter Payment Information	The rules for entering the payment information are the same as those for a counter transaction.	E - Exact match	

Description: Start application in EVRS, scan documentation and attach to application (Box 5); Print letter and return original documents to customer (Box 6); Save request and/or application in appropriate pending queue (Box 7)

If the application is found to be incomplete, the requestor and order information is entered into the system and the request is saved in a Pending Queue. Any documentation is scanned and attached to the request. If cash was received as payment, the user receipts the money received.

	Business Rule Name	Business Rule Description	Vendor Response	Comments
ISS193	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
ISS194	Attach Documents to Pending Queue	The system allows the user to scan documents and attach them to an incomplete request in the Pending Queue.	E - Exact match	The applicant record would be displayed from the queue and the scanned documents attached to that application record.
ISS195	Incomplete Request Queue	The system provides a pending queue for incomplete requests.	E - Exact match	
ISS196	Incomplete Request	The system allows the user to receipt a payment on an incomplete request.	E - Exact match	
ISS197	State Letter Return	The system allows user to designate that a State letter was returned, the date it was returned, and the reason it was returned.	W - Workflow or System Configuration Required	This is normally contained in the document tracking system, but fields can be added for this purpose if needed.
ISS198	Record Refund	The system allows the user to set an indicator that a refund is required.	E - Exact match	A fiscal refund can be entered and an indicator set.
ISS199	Close Incomplete Requests	The system allows a user to close incomplete requests.	E - Exact match	
ISS200	Records Not Registered Queue	The system provides a queue, viewable by authorized staff, for requests received for a record which has not been registered and is over a State-specified number of days after the event date.	W - Workflow or System Configuration Required	The NOT IN YET queue contains the requests for certificates of records that are not registered/state file numbered. This queue is for applicant records while the days after the event criteria is not.
ISS201	Receipt Cash	Requests accompanied by cash payments are recorded in the system and a receipt is created.	E - Exact match	
ISS202	Incorrect Payment Letter	The system can generate a letter to the customer indicating that the amount paid is incorrect; they are given the option of sending a new payment or generating a return of payment.	E - Exact match	
ISS203	Money Order "Overage" Flag	If a money order accompanies a mail order and the amount received is more than the amount due, the user may flag the order for review by an authorized user before issuance.	W - Workflow or System Configuration Required	Need to determine exactly which flag or workqueue to assign the record to for the Review.
ISS204	Authorized User Override for Money Order Overage	If the overage amount is within the State-defined limit, an authorized user may receipt the overage and make note of the overage amount in the system. This action removes the flag.	W - Workflow or System Configuration Required	The overage should be entered in the services so the total balance will add up to 0.
ISS205	Money Order Overage Fund Allocation	When the money order overage is receipted and flag removed, the overage funds are allocated into specific accounts, as defined by the State.	E - Exact match	The service of OVERAGE allocates the funds appropriately.
ISS206	Money Order Overage Tracked in Order	When the money order overage flag is removed, the details of that transaction are tracked within the customer's order in a way so that the State Supervisor can track the amount of the overage, and where the funds were distributed.	E - Exact match	The service takes care of this
ISS207	Money Order Overage Notes	The system allows the State user to add a note in the Customer's order when the Money Order Overage flag is placed on the record.	W - Workflow or System Configuration Required	Notes or a comment field can be used to document this.

Description: Customer mails in missing information (Box 8); Access request and/or application in pending queue, enter missing information (Box 9)

After the request is determined to be incomplete and the requestor and order information is entered into the system, a letter of rejection with needed information is printed and the request is saved in a Pending Queue until the requestor returns with the missing information, or the request expires.

	Business Rule Name	Business Rule Description	Vendor Response	Comments
ISS208	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
ISS209	Select Reasons Why	The system allows the user to personalize the letter by selecting the reason why the person is not entitled.	E - Exact match	
ISS210	Denied Status on Record	The system allows an authorized user to change status of a request to "not entitled."	E - Exact match	Many statuses can be chosen to manage the process.
ISS211	Denial Letter	The system allows users to generate a denial letter which is pre-populated with data from the "not entitled" electronic request.	E - Exact match	
ISS212	Convert Denied Request to Open Request	The system allows an authorized user to open a denied request and convert it to an open request, which can be processed once missing information is received.	E - Exact match	
ISS213	Letter Auto-Generated	The system allows a user to auto-generate a letter from the record so that it is personalized with the correct personal information and the information needed to complete the record.	E - Exact match	

END OF ISSUANCE - MAIL

BUSINESS PROCESS: STATE ISSUANCE - VITALCHEK

The VitalChek application is used to process online and phone requests for certified copies of records. The customer can submit their order through the VitalChek website or through VitalChek's toll free phone number. The customer's order is uploaded to the VitalChek server. The State logs into VitalChek, extracts orders from VitalChek, and uploads them to the system. VitalChek remits payment to the State through the system by check, which the State prints on perforated check stock. The system generates a receipt and the State includes the check in their daily deposit. Orders are fulfilled and mailed out to the customer.

Description: Customer enters order with VitalChek (Box 1); Order is uploaded to VitalChek server (Box 2); Extract orders from VitalChek and upload to EVRS (Box 3); Generate check and print receipt (Box 4); Go to Issuance Flow

If the customer enters their order online through the VitalChek website, the website directs the user through a series of screens to select the appropriate request and to enter the request information. The fees associated with the request are calculated and the requestor is asked to enter credit card information. If the credit card is denied on the VitalChek site, the requestor is asked to enter another credit card. VitalChek confirms that an order is complete before releasing it to the State. VitalChek remits payment to the State through the system by check, which the State prints on perforated check stock. The system generates a receipt, and the State includes the check in their daily deposit. Orders are fulfilled and mailed out to the customer.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS214	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system		
ISS215	Same Rules As	Please see the Issuance - Counter (Box 6) section above for rules related to receipting.		
ISS216	Upload File from State VR Internet Order System	The system can accept a batch file from VitalChek multiple times per day.	*E - Exact match*	Vitalchek is loaded into the Netsmart system via a Web Service. Any transactions sent to the web service during the day individually or in batch will be
ISS217	VitalChek Import	The system allows the import of VitalChek requests and generates requests in the system.	*E - Exact match*	
ISS218	Populate System Immediately	The system can accept one request at a time from VitalChek.	*E - Exact match*	
ISS219	Track Source of Request	The Internet Order request passes the source of the request to the system.	*E - Exact match*	
ISS220	Display Fee for Services	Orders extracted from VitalChek display the fee for services, and not what the requestor actually paid.	*E - Exact match*	
ISS221	Import Check Information	The system allows the import of checks from VitalChek.	*W - Workflow or System Configuration Required*	The normal method is for the user to print the end of day vitalchek check and add it to the cash drawer. We are not familiar with importing a check into the system
ISS222	Print Checks	The system allows authorized users to print the checks on check stock. Format of checks are State define.	*E - Exact match*	This is a vital check function of their web site or terminal in the VR offices.
ISS223	Receipt Payment	The system can generate receipts for payments received from VitalCheck.	*E - Exact match*	The payment for each transaction appears with the money type as VitalChek.
ISS224	Interface with Any System That Replaces Current VitalChek System	If Vitalchek replaces the current payment process with an EFT system, EVRS will be modified to properly interact with the replacement system.	*M - Modify*	
ISS225	VitalChek Requests Marked "Paid"	All requests queued from VitalChek site are marked "paid," as the customer's card has already been charged.	*E - Exact match*	The payment record is created for each transaction from VitalChek. It appears as if the payment has occurred in the system and the request can be processed.
ISS226	VitalChek Refund Fees	If the requestor is not eligible, fees may be refunded through VitalChek.	*E - Exact match*	Vitalchek is responsible for refunding their fees.
ISS227	VitalChek Refunds	On VitalChek orders, refunds may be processed if the request included payment for multiple copies.	*E - Exact match*	Vitalchek is responsible for refunding their fees.
ISS228	Refund Through VitalChek	On VitalChek orders, the remainder is refunded through VitalChek and the request in the system is marked by the user to indicate that the request has been processed.	*E - Exact match*	Any amount of money can be kept by the state and Vitalchek will refund the remainder.
ISS229	VitalChek Orders - "No Record Found" Letter	The system generates a letter to the customer, by jurisdiction, indicating that the record was not found; the letter may contain a refund in the amount the customer paid for the search/record.	*W - Workflow or System Configuration Required*	We create the NO Record Found to be sent back to the customer. The refund can or cannot be added to the letter as per the state specs.
ISS230	Refund Option	The system allows the option to process a refund to be turned off.	*W - Workflow or System Configuration Required*	Different mechanisms are available for refunds. Some are allowing refunds the same day from the cash drawer. Others are requesting a fiscal refund. It will

Additional Information

END OF ISSUANCE - VITALCHEK

BUSINESS PROCESS: FULFILLMENT OF ORDERS FOR CERTIFIED COPIES (County and State)

The user can go immediately from entering and validating a request at the counter, from mail, or from VitalChek to the Fulfillment of Orders Flow. Alternatively, users can select requests that are ready to be filled from a queue. While the request is open, the user retrieves the record(s) requested. If the record is found, the user determines whether or not it can be issued (e.g. contains a "hold" code). If the record can be issued, the user prints the certified copy and reviews the document for errors. If there are no errors, the user prepares it for delivery to the customer. If there are errors, the user will void the document, state the reason for the void, and then re-print document.

If the requested record is not found, the user determines whether or not the event is recent enough that it might not yet be registered. If so, the request is placed in a pending queue until the record is registered. If the event is an older event, the user generates a "No Record Found" letter, updates the request with the "No Record Found" result, and issues the letter to the customer.

There are several types of "No Record Found" letters. Three (3) are non-certified letters and one (1) is certified. There are two (2) formats for the letter depending on whether it is certified or not-certified. The user will indicate that a "No Record Found" letter is needed by checking a box, which generates a drop-down pick list where the user will select which type of "No Record Found" letter to issue. The following are the different types of "No Record Found" Letters:

1.) The applicant was born outside of West Virginia - They are issued a "No Record Found" letter stating that the requestor was born in a different state. These are not printed on certified paper. The letter provides bullet points for the applicant regarding next steps in their process;

2.) Genealogy request - In this case, the State provides a genealogy packet that goes along with the "No Record Found" letter. This letter is not printed on certified paper;

3.) No record inquiry letter - The customer provides proof of birth, proving that they were born in WV but do not have a birth certificate;

4.) Certified "Letter of No Record" --This is the only "No Record Found Letter" printed on certified paper.

Description: Search for the record (Box 1); Found? (Box 2) If no, letter generated for requestor that record is not found (Box 3); If yes, record can be issued? (Box 4); If no, letter printed and customer informed of next steps (Box 5)

The system user accesses the appropriate request queue. The user selects the first item on the request and searches the system database for the record. If the record is not found, it is placed in the pending queue. The user checks to see if the record is new and has yet to be registered. If record is still awaiting registration, the user starts the process once the record is registered. If the record is not awaiting registration, a letter is generated for the requestor stating that the record was not found.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS231	**User Log In**	Please see the General Requirements section B - User Authentication for rules related to user log in.		
ISS232	**User Profiles**	Please see the General Requirements section C - Roles, Profiles and Institutional Affiliations for rules related to user log in.		
ISS233	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
ISS234	**E-Notary**	Please see General Requirements T - Electronic signature and E-Notary for rules related to e-notary and electronic signature.		
ISS235	**Scanning**	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
ISS236	**Search Rules**	Please see the General Requirements, section M - Searching and Matching, for search and duplicate checking rules.		
ISS237	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
ISS238	Issuance Manager Queue	The system provides a work queue of orders for certified copies that require special attention (e.g. missing child). The orders that appear in the Issuance Manager Queue is configurable by the State.	*W - Workflow or System Configuration Required*	We will create this Special Attention Workqueue the users can assign request record to with a flag on the applicant or request record.
ISS239	Ready to Issue Queue	There is a queue for requests that include records which have just been registered and can now be filled.	*E - Exact match*	
ISS240	Pending Eligibility Queue	There is a queue for requests that require additional documentation before they can be processed.	*W - Workflow or System Configuration Required*	
ISS241	Pending Request Queue	There is a queue for requests that include records which have not been registered yet.	*E - Exact match*	
ISS242	Pending Request Queue Reminder	After a State-defined period of time (for example, 2 weeks of DOB/DOD), requests in the Pending Request Queue generate an alert that is sent to the Registration unit, informing them that the request is still awaiting registration.	*W - Workflow or System Configuration Required*	This would be a reminder letter capability that would send an email for each record in the list that is still not registered.
ISS243	VitalChek Queue	If multiple orders are downloaded to the system from the VitalChek system at one time, they can be accessed from a queue that contains only orders from VitalChek's system.	*E - Exact match*	There is a specific queue for the VC orders.
ISS244	Funeral Home Request Queue	There is a queue for requests that are entered online by funeral homes.	*E - Exact match*	Funeral homes can automatically create a CAS request and those are in a special queue at the location they want to process the records.
ISS245	Process Order from Issuance Immediately	The system allows a user to proceed from order entry to directly process the order for fulfillment.	*E - Exact match*	
ISS246	Order Cannot be Processed Until Paid	The system blocks printing of the certificate until the order has been paid for.	*E - Exact match*	Some states prevent the operator from searching for the record, and other states just prevent the PRINTING from taking place.
ISS247	Process VitalChek Order Immediately	If the user downloads only one order from VitalChek into the system, the same user who initiated the download can immediately process the order without re-selecting the order.	*W - Workflow or System Configuration Required*	The operator has two systems. The Vitalchek system and the Vital Records system. The Vitalchek order is automatically pushed into the Vital record system
ISS248	Issuance Queue Assignable to State Location	The VitalChek request queue is assignable to the State only.	*W - Workflow or System Configuration Required*	Some counties might want to receive money and orders from Vitalchek. We can just make the orders come to the state if that is Vitalchek's policy.
ISS249	Clear Indication of Account Status	The system provides a clear indication of account statuses by funeral home location.	*E - Exact match*	The funeral home is the Company on the application and the status is clearly shown on searches and workqueues.
ISS250	COD Notification	The system provides an authorized user with a notification when a cause of death is added to a pending COD record.	*W - Workflow or System Configuration Required*	Changing the COD should be able to change the status or the workqueue the CAS request record is in.
ISS251	Limit Orders with Pending COD	If a certificate is pending a cause of death, the system flags the order and limits the number of certified copies that may be issued. The number of issuable copies is State-defined.	*W - Workflow or System Configuration Required*	The system does not know it is a Pending COD until the record is actually selected and the print is chosen. At that time IF the number of copies is more than 1, it will not let it print. The operator must split the order into multiple
ISS252	Move to Ready to Issue Queue	The system moves a record to the Ready to Issue Queue once the cause of death has been added.	*W - Workflow or System Configuration Required*	
ISS253	Registered Pending COD Notification	The system provides a notification when a record with a pending cause of death is registered.	*W - Workflow or System Configuration Required*	When the death record is registered, the system looks for a request for that record. If found, it can set the appropriate flags and workqueues so that record
ISS254	Clear Old Pending Requests	The system automatically clears out pending requests at the end of a State-defined period of time.	*W - Workflow or System Configuration Required*	This can be a report sql job to do this as specified by the state.
ISS255	Manually Clear Pending Requests	The system allows an authorized user to manually clear out pending COD record requests after a State-defined period of time.	*E - Exact match*	
ISS256	Other State Agency Request Tracking	The system tracks how many times other state agencies (e.g. Child Support Services, state/federal agencies) requests a read-only and/or certified copy of a birth record.	*W - Workflow or System Configuration Required*	Tracked by the request that are make but can also be tracked by the views of the records they do.
ISS257	Other State Agency Drop-Down List	The system provides a State-defined drop-down list to select the state/federal agency making the request.	*E - Exact match*	
ISS258	Change Queue if Record is Registered	When the system determines that a record has been registered, the request that is being held moves into a queue for fulfillment.	*E - Exact match*	
ISS259	Abandoned Requests	After a State-defined period of time, requests in the Pending Queue become abandoned requests.	*W - Workflow or System Configuration Required*	This can be a report sql job to do this as specified by the state.
ISS260	Purge Abandoned Requests	Abandoned requests can be purged from the system according to State-defined parameters.	*W - Workflow or System Configuration Required*	This can be a report sql job to do this as specified by the state.

ISS261	Archive Abandoned Requests	The State can choose to archive abandoned requests prior to purging them from the system.	*N- Cannot Meet*	We do not archive records. Storage space is relatively cheap and all records are accessed immediately.
ISS262	Display Alerts Such as "Missing Child"	An alert for issues such as "missing child" are displayed when the record is retrieved.	*E - Exact match*	
ISS263	Alerts State-Defined	The issues that indicate the need for an alert are State-defined and managed by the State.	*E - Exact match*	
ISS264	Requestor's Parental Rights Terminated	If the mother's and/or father's parental rights have been terminated, the system generates a "do not issue" flag and the parents are not entitled to certified copies of the child's birth certificate. A comment box is included to indicate which persons are not eligible.	*W - Workflow or System Configuration Required*	We certainly stop printing for a number of state defined reasons. We can add a comment box to the event record to indicate who can receive a copy.
ISS265	Supervisory Override	A supervisory override is required for changes to "do not issue" flags.	*E - Exact match*	
ISS266	"Deceased Requestor" Alert	The system provides an alert that allows the user to put a hold on a record if a person indicated as "deceased" requests their own death or birth certificate.	*E - Exact match*	The CAS has an edit that currently does this.
ISS267	Indicators	The indicators that are displayed are State-defined.	*E - Exact match*	
ISS268	Replacement Fee Type - Birth	For birth records, the system links the request number back to the original receipt number.	*W - Workflow or System Configuration Required*	We know all of the receipts that printed this record.
ISS269	Replacement Fee Type - Death	For death records, the system links the request number back to the original receipt number.	*W - Workflow or System Configuration Required*	We know all of the receipts that printed this record.
ISS270	Void Inventory Control Number on Returned Certificates	The system allows authorized users to void inventory control numbers on returned certificates.	*E - Exact match*	
ISS271	Reasons for Void	The system allows the user to select from a State-defined drop-down list of options the reason why a certificate has been voided.	*E - Exact match*	
Additional Rules for Online Ordering for Funeral Homes				
ISS272	Online Request Queue	The system provides the user with an Online Request Queue for requests submitted online.	*E - Exact match*	
ISS273	Online Request Confirmation Number	The system provides the customer with a confirmation number for online request.	*E - Exact match*	The Request number is put in the death record. And the FH can print a receipt to give to the customer also.
ISS274	Look Up Order by Confirmation Number	The system allows the State user to look up an online order by entering a combination of the customer's confirmation number and last name.	*W - Workflow or System Configuration Required*	The customer confirmation number is all that is needed.
ISS275	Online Request Pickup Location	If the requestor must pick up the items that were requested online, the system queues online requests based on the pickup location selected by the requestor.	*E - Exact match*	When the FH enters the order, they choose the pick up location the customer will use to receive the certified copies.
ISS276	Online Request Billable Account	The system recognizes if an online request is a billable account.	*E - Exact match*	
Additional Rules For "No Record Found"				
ISS277	Send Orders to Queue	The system provides a work queue for counter requests for which a vital record event cannot be found.	*W - Workflow or System Configuration Required*	Various workqueues and flags will be available for many types of conditions as specified by the state.
ISS278	Update Status to "No Record Found"	An authorized user may update the record status to "No Record Found" if the system could not find a match based on the information provided by the requestor.	*E - Exact match*	
ISS279	"No Record Found" Letter Needed	The system provides the user with a method of indicating that a "No Letter Found" letter is needed.	*W - Workflow or System Configuration Required*	The operator will know if a no letter found is needed from not finding the record and the manager not finding it either. They can set a flag indicating as such, but
ISS280	"No Record Found" Letter Format	The format of the "No Record Found" letter is selected by the user from a State-defined drop-down list of "No Record Found" letters.	*E - Exact match*	
ISS281	Print "No Record Found" Letter	Based on the type of "No Record Found" letter selected by the user, the system automatically prints the "No Record Found" letter on certified or white paper.	*E - Exact match*	Each letter/document is assigned to a Paper/Printer combination during that user setup. So it always knows where to be printed and what to print it on.
ISS282	Flag Record	If further action from the requestor is required to complete the transaction, the State user flags the record.	*E - Exact match*	
ISS283	Pending Queue	If a record is flagged for further action, the systems sends the record into a pending queue.	*E - Exact match*	
ISS284	Remove Flags	The system allows an authorized user to remove the flag.	*E - Exact match*	
ISS285	Close Request	The system allows an authorized user to close a request after the generation of a "No Record Found" letter.	*E - Exact match*	

Description: Customer returns with missing info (Box 6)

If the record was found in the initial search, the system checks to see if the record can be issued. If the record cannot be issued, the record is placed in the Pending Queue and a letter is printed to inform the customer of their next steps. The customer may return with missing information, in which case the flow continues on to step 7.

An authorized user may override the flag, depending on the circumstances. Optionally, the request can be sent to a queue for a supervisor to review. If the record cannot be issued, the request is placed in the Pending Queue and a letter with a request for the missing information is generated.

If the user determines that the record requires an amendment, the record is queued for the Corrections Unit.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS286	Various Types of Documents May Print	The system prints a variety of document types depending on the item(s) included on the request. A complete list is included in the Reports Matrix.	*E - Exact match*	
ISS287	System Records	The system records print from the data record.	*E - Exact match*	Document tracking holds this information.

ISS288	Relaxed Edits for SFN Entry	The system allows for relaxed edits when back data entering that provides the user the ability to data enter a SFN.	E - Exact match	
ISS289	Relaxed Edits for Legacy Records 1935 and Prior	For legacy records from 1935 and prior, the system provides further relaxed edits when a user is keying the record into the EVRS.	W - Workflow or System Configuration Required	Multiple GUI years are available to handle this as specified by the state.
ISS290	Legacy Records Backfilled	Legacy records that have been backfilled can print from the image in the system or directly from the data record.	E - Exact match	
ISS291	Legacy Records Not Backfilled	Legacy records that have not been backfilled print from the image in the system.	E - Exact match	
ISS292	Legacy Records - Certified Copies	The system requires supervisor approval to issue certified copies from images under special circumstances where the system data is insufficient to issue the order requested.	W - Workflow or System Configuration Required	The conditions are state mandated and our system can handle the process and criteria.
ISS293	Legacy Records - Complete Data Entry	An authorized user, based on their user-defined role, may complete data entry on legacy records.	E - Exact match	
ISS294	Legacy Records - QA	The user that backfilled a legacy record cannot be the same user that performs QA of the record. A second user must perform QA of the legacy record and indicate that they have completed the QA before the record can be issued.	W - Workflow or System Configuration Required	Add the appropriate flags to have two people verify the record.
ISS295	Legacy Records - Backfill	The system allows the backfilling/completion of legacy records to occur at the State.	E - Exact match	
ISS296	Legacy records - Backfill Incomplete	The system allows the user to enter "null" if certain State-defined fields from the legacy record are not available for keying into the EVRS record.	W - Workflow or System Configuration Required	NULL or leaving the field empty will be fine. The status flag will tell the system whether the record backfill is completed or incomplete.
ISS297	Legacy Records - "Null" Prints Blank Fields	When a record has fields that contain "null," those fields print blank on the certified copy.	W - Workflow or System Configuration Required	
ISS298	Legacy Records - Backfill Seamlessly	The system allows Customer Service to backfill/complete data on a legacy record in a seamless manner while they are fulfilling a request at the counter.	W - Workflow or System Configuration Required	The function and gui group that person is a member of will allow this to happen easily.
ISS299	Legacy Records - Dual Monitor Screens	The user may view the image of a legacy record on a separate monitor screen while entering data on a different monitor screen (dual monitor screens).	E - Exact match	
ISS300	Amend Legacy Record	An authorized user may amend a legacy record before fulfilling the request.	E - Exact match	Both orders are acceptable.
ISS301	Review by State	All legacy records that are backfilled by a local county must be queued for review by the State prior to issuance.	W - Workflow or System Configuration Required	Two person verification even if updated at the county. Second person must be from the central site.
ISS302	Capture User	The system will capture the user who adjudicated the record in the record history.	E - Exact match	
ISS303	Legacy Record - Multiple Pages	The system recognizes legacy records that have been amended and have multiple pages that need to be printed on security paper; the system captures all document control numbers related to the request.	F - Future	Multiple images that print from one record, do not increment the safety paper numbers. Each image can be printed separately to use a safety paper number correctly.
ISS304	Legacy Record - Scan Original	When a legacy record is amended, the user must scan and attach the affidavit and original book copy to the record.	E - Exact match	
ISS305	Legacy Record - Manually Enter	An authorized user may manually assign a DCN number to a record, in the rare instance where a certified copy is issued manually (from the vault).	E - Exact match	Various methods to do this. There can be a dummy vault print that keeps track of the vault paper that is manually used from a stack of paper.
ISS306	Legacy Record - Long Form	The system provides the user with the option of printing a long form of a legacy record of any event type, if the record contains an image.	E - Exact match	
ISS307	Print on Demand	The system allows the user to print certified copies on demand.	E - Exact match	
ISS308	Associate Document Control Number	Once a starting number is entered, the system assigns a document control number to each certified copy, increasing the number by one for each additional copy and storing the associated number in the document history.	E - Exact match	Stored in the doctracking as history. The paper is put into the DCN assignment event for that named printer and removed each night from that printer and put in the vault.
ISS309	Option to Print System Receipt	The user has the option to print one or more copies of a receipt from the system.	E - Exact match	
ISS310	Bulk Print	The system makes it easy for users to enter and print a large number of certificates at a time (e.g. for research projects).	W - Workflow or System Configuration Required	This can be done from setting flags in the event records, or entering/loading a table of SFN that need to be printed.
ISS311	Research Bulk Print	The system allows users to print subsets or full sets of State-defined data from certificates for research projects.	E - Exact match	State must specify the fields needed for this print. Then they can be printed in bulk in a report.
ISS312	Watermark for Bulk Print	The system prints a State-defined watermark on bulk printing jobs (for example, "not for legal use").	E - Exact match	Watermarks are always available for any print.
ISS313	Verifications Print on Plain Paper	Verifications of vital records are printed on plain paper. The system prints a watermark on the verifications that distinguishes the type and use of each record.	E - Exact match	
ISS314	Update Document History	Document history is updated for every output from a request.	E - Exact match	
ISS315	Track Date, Time and Issuer	Document history includes the date, time, and the person who issued the record or certificate.	E - Exact match	This is in document tracking.
ISS316	State File Number Required	In order for a request to be fulfilled, the associated record must be registered and have an assigned state file number.	E - Exact match	
ISS317	Number of Times Document is Printed	The system tracks the number of times a document is printed, the number of documents being printed, the person ordering the documents, and any other State-defined information.	W - Workflow or System Configuration Required	All of this is available in the doctracking and CAS. The fields are usually sufficient for most states. The State Defined Information is unknown at this time
ISS318	Alert for Number of Times Document is Printed	After a State-defined number of print requests, an alert is sent to a supervisor.	W - Workflow or System Configuration Required	The number is tracked and the user cannot print more than the state defined number. An alert can be configured to be sent once the CAS record is

ISS319	Short Form	The system provides the user with the option to print a short form of any event on State-defined paper sizes.	E - Exact match	Standard features. The specs of the exact document are state defined.
ISS320	Long Form	The system provides the user with the option to print a long form of any event on State-defined paper sizes.	E - Exact match	
ISS321	Medical Information Not Included on Certified Copy	Medical information related to pre-natal and delivery is not shown on certified copies.	E - Exact match	
ISS322	Medical Certifier Notes Do Not Print	Not all of the information obtained from the medical certifier will be printed on a certified copy.	E - Exact match	
ISS323	Update Item Status to "Complete"	The system updates the status of an item on a request to "Complete" or its equivalent after the item has been filled.	E - Exact match	
ISS324	County Clerk Signature	For certificates issued at the county, the system will print the signatures of the State Registrar and respective County Clerk on all certified copies.	E - Exact match	We have done this in the past on some states.
ISS325	Update Request Status to "Printed"	The system updates the status of each item on the request to "Printed" once the item is successfully printed.	W - Workflow or System Configuration Required	The printing document wizard can update the service to Printed or Completed.
ISS326	Fill Partial Requests	The system allows the user to fulfill one, none, or all of the items on a request that includes multiple items.	E - Exact match	
ISS327	Adjust Partial Requests	If one but not all of the items on a request is filled, the system user has the option to leave the request open or cancel the other items and close the request.	E - Exact match	
ISS328	Upload of SFN's to Print	The system accepts an upload of SFN's for the bulk printing of non-certified white copies.	W - Workflow or System Configuration Required	The file can be loaded using our import utility and the bulk print will look at those sfn to determine what to print.
ISS329	Upload Format	The system accepts uploads in various standardized formats, such as Excel.	W - Workflow or System Configuration Required	The standard format we prefer is one sfn per line (flat file), or CSV format.
ISS330	Print Range of Certificates	The system allows the user to print a range of certificates by SFN.	W - Workflow or System Configuration Required	
ISS331	Update Batch Status Option	When printing is complete, the system provides the user with the option to update the status immediately or at a later time.	W - Workflow or System Configuration Required	
ISS332	Default Update Status Option for Batch Printing	The default update status option for batch printing is "later". The user may review the print job prior to updating status.	W - Workflow or System Configuration Required	
ISS333	More Than One Request from Requestor	If the requestor has requested more than one certificate or search, the system displays the next request from the same requestor.	W - Workflow or System Configuration Required	If the requests are through the CAS, the user would go back to the request screen and see the next request. This is a manual process.
ISS334	Record Number of Certified Copies Made	The system records the number of certified copies made.	W - Workflow or System Configuration Required	This is in the document tracking system.
ISS335	Record Identity of Persons Ordering and Receiving Copies	The system records the identity of the person(s) ordering and receiving the certified copies.	E - Exact match	
Rules Affecting Naming Conventions				
ISS336	Character Rules	Please see the General Requirements, section L - Data, Data Format, and Tables for all rules related to characters and naming conventions within the system.		
Rules Affecting Specific Printing Requirements				
ISS337	Verifications	Verification copies of vital record events are watermarked with a State defined watermark such as "administrative copy only."	E - Exact match	Watermarks are always available for any print.
Rules Affecting Information Printed for Birth Events				
ISS338	"Deceased" Indicator	Birth certificates for which a death certificate is registered print with a "deceased" indicator.	E - Exact match	
ISS339	Unnamed Child	Customers cannot receive a certified copy of a birth record if the birth record is for an unnamed child.	E - Exact match	These are rules in the birth system and the printing document wizard to stop this print.
ISS340	Unnamed Child Override	The system allows for a supervisory override for issuing a certified copy of a birth record for an unnamed child by updating the name to "Infant' or "Baby."	W - Workflow or System Configuration Required	The operator would update the child name. The supervisor can override a "STOP PRINT" mechanism.
ISS341	Printing of Birth Certified Copies	The system tracks and alerts the user of birth certificates that have been printed a State-defined number of times within a State-defined period of time across all offices.	E - Exact match	
ISS342	Multiple Orders of Same Birth Certificate Received	The system tracks and provides an alert when more than the State-defined number of requests for the same birth certificate have been received across all offices.	W - Workflow or System Configuration Required	This edit can be easily implemented. The issue is that the exact birth record is not chosen until later in the process. But if the names and DOB match, then this
ISS343	Prevent Printing of Certified Copy of Birth Certificate	The system issues a message before filling a request for a certified copy of a birth certificate if the request exceeds a State-defined number of requests within a State-defined time period across all offices; An override by an authorized user is required before the request can be filled.	W - Workflow or System Configuration Required	The user is stopped from doing this print.
ISS344	Supervisory Override for Birth Certificate	A supervisor can override and print a certified copy of a birth certificate if the request is over the State-defined number of requests across all offices.	E - Exact match	
ISS345	Truncated Birth Name	If a birth record contains an indicator that the child's name has been truncated, the system allows the user to view the image and type in the remainder of the name so that it may print correctly without having to create an amendment.	E - Exact match	A demographic correction can be done on a record to achieve this process.
ISS346	Additional Name Space	The system allows for the full name of a child to print at the bottom of page if it is too long to fit into the box.	W - Workflow or System Configuration Required	
ISS347	Paternity or Legitimation Order	If a birth record is being held because it contains an indicator that a paternity or legitimation order is in process, the system does not allow the printing of a certified copy of the birth record.	E - Exact match	

ISS348	Paternity or Legitimation Order Override	The system allows a supervisory override for the printing of a long form, certified copy of a record that has a paternity or legitimation hold.	E - Exact match	
ISS349	Do Not Issue	The system does not allow the printing of a long form, certified copy of a birth record that has a paternity or legitimation hold if an amendment is in progress.	W - Workflow or System Configuration Required	
ISS350	Add Additional Data to Legacy Records	The system allows a user to enter additional data in legacy records and set a flag so subsequent copies are printed from the system.	W - Workflow or System Configuration Required	
ISS351	No Father Information	If a father is not listed on a birth record, no information is printed in the father fields on the certified copy of the birth record.	E - Exact match	
ISS352	Delayed Birth Print	Abstracted information is included in the printed copies of delayed birth certificates.	E - Exact match	State would specify the print contents.
ISS353	Delayed Certificate Notation	Delayed records (registered more than one year after the date of the event) have the "Delayed Certificate" notation as part of the heading on the certificate and are issued from the system image.	W - Workflow or System Configuration Required	Determined by the state print contents
ISS354	Paternity Flag	Certified copies may still be issued in instances where the mother is married, the father information is missing, and there is a "paternity hold" flag.	W - Workflow or System Configuration Required	
ISS355	Accommodate Court Orders	The system will accommodate the printing of court-defined information on a birth record.	E - Exact match	
ISS356	Verification of Birth	Verification of birth has a separate format from certified birth certificates.	E - Exact match	
ISS357	Certified Copy of Birth Certificate	The format of a certified copy of a birth record is State-defined.	E - Exact match	
Rules Affecting Information Printed for Death Events				
ISS358	Statement of Death	A statement of death (abstract) may be issued from the system. Fields on the statement of death are State-defined and do not include medical information.	E - Exact match	
ISS359	Short Form	A death short form may print from the system. The fields are State-defined and includes only the manner of death and not the actual COD.	E - Exact match	
ISS360	Long Form	A death long form may print from the system. The fields are State-defined and does include the COD, which may be pending.	E - Exact match	
ISS361	Verification of Death	A verification of death prints on letterhead with a State defined-watermark and includes State-defined information.	E - Exact match	
ISS362	Court-Ordered Death	Court-ordered death certificates are marked with "Judicial Determination of Death."	W - Workflow or System Configuration Required	
ISS363	County Commission Determined Death	Presumed deaths as determined by County Commission are marked with "Presumptive Death."	W - Workflow or System Configuration Required	
ISS364	Pending COD	Certified copies of death certificates can be issued when the cause or manner of death is listed as "pending."	W - Workflow or System Configuration Required	
Rules Affecting Information Printed for Genealogy				
ISS365	Genealogy Report	The system provides the option to print a genealogical report.	E - Exact match	
ISS366	Genealogy Report User-Defined	The format and fields included on the report are user-defined by the State.	E - Exact match	
ISS367	Genealogy Report Prints on White Paper	Genealogy reports print on white paper and are clearly marked with "Not for legal use."	W - Workflow or System Configuration Required	
ISS368	Legacy Records Communicable Disease	All legacy records where COD equals a communicable disease are flagged so that the COD does not print on genealogy requests.	W - Workflow or System Configuration Required	
ISS369	Genealogy COD	The system provides the user the option to print COD on genealogical records as long as the COD is not a communicable disease.	W - Workflow or System Configuration Required	

Description: Fulfill order and add control # of security paper (Box 7);

Once the record has been retrieved, the system checks for flags and indicators that may affect the ability of the system user to fill the request for that record. If the record can be issued, the system user will add the control number of the security paper and print the certificate.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS370	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
ISS371	Create Letter	If the Customer Service user finds that they cannot complete the request, the user prints a letter for customer indicating the reasons the request could not be processed.	E - Exact match	
ISS372	Update Request	The request can be updated to include a request for an amendment.	E - Exact match	
ISS373	Queue for Amendments Unit	Requests with amendments added are queued for the Corrections Unit to complete.	W - Workflow or System Configuration Required	The user can add these to the queue or the edit for that service can add it to the queue by changing the flag on the request record.
ISS374	Held Record	If a record contains an indicator that it is being held, the system does not allow the printing of a certified copy.	W - Workflow or System Configuration Required	
ISS375	Record Must be Registered	A record must be registered before any request for that record can be filled.	E - Exact match	This is a state rule that has been inforced in some states.

ISS376	Paternity Affidavit Form Received	If a signed and notarized Paternity Affidavit Form has been received for a birth record which has a flag indicating that one is expected, and the paternity information has been entered, the system allows the printing of a certified copy of the birth certificate.	*E - Exact match*	
ISS377	Paternity Affidavit Form Not Received	If a signed and notarized Paternity Affidavit Form has not been received for a birth record which has a flag indicating that one is expected, the system does not allow the printing of a certified copy of the birth certificate.	*W - Workflow or System Configuration Required*	The printing document wizard stops the printing in different cases.
ISS378	Paternity Form Hold Supervisory Override	The system allows a supervisory override to allow issuance of a record that was flagged as awaiting a Paternity Affidavit Form or a Court-Ordered Paternity Form.	*W - Workflow or System Configuration Required*	
ISS379	Sealed Records	If a record contains an indicator that the record has been legally removed and sealed, the system does not allow the printing of a certified copy.	*E - Exact match*	
ISS380	Check Note in System	When a record has an "insufficient payment" flag, an authorized user can access the notes in the system to determine if the money to be collected is different than the standard fee.	*W - Workflow or System Configuration Required*	Notes can be checked at anytime during the process. Typically the request will not progress this far it money is owed.
ISS381	No Note in System	If there is no note in the system for a record with an "insufficient payment" flag, the user collects the standard fee.	*W - Workflow or System Configuration Required*	
ISS382	Reason for Refund is Clear	When the need for a refund is created by reducing the quantity ordered through the issuance of a "No Record Found" letter, the reason for the refund is noted in a way that is clear to the person reviewing the potential refunds list.	*W - Workflow or System Configuration Required*	
ISS383	Print Refund on Receipt	The system can print refunds on receipts.	*E - Exact match*	
Additional Rules Flags and Indicators				
ISS384	File Flags and Indicators	The system checks file flags and indicators on each record to determine if the issues being identified by the indicator or flag affect the system user's ability to fill the request.	*E - Exact match*	
ISS385	Override Flags and Indicators	Authorized users can override certain types of flags and indicators.	*E - Exact match*	
ISS386	Remove Flags and Indicators	Authorized users, based on their role, can remove flags and indicators based on circumstances.	*E - Exact match*	
ISS387	"Pending Request" Flag	The system allows users to set an indicator for amendment requests being held and to select a reason for holding the request. Different reasons could include: the requestor looks suspicious or possible case of fraud.	*E - Exact match*	
ISS388	Comment Field Available for Holding Files	The system provides a comment field for files that have a "hold" flag.	*E - Exact match*	
Additional Rules Fees				
ISS389	Fee Not Received	If the fee for an amendment is not received or is insufficient, the record contains a "Do not Issue" flag that prevents certified copies from being issued.	*W - Workflow or System Configuration Required*	
ISS390	Modify Request to Reflect Money Collected	If the money due as noted on the record is collected by the system user, the request is updated to show the collection of the additional money.	*W - Workflow or System Configuration Required*	
Additional Rules Amendments				
ISS391	Notify User if Amendment is Pending	The system notifies users of pending amendments that prevents the issuance of a record.	*E - Exact match*	
ISS392	Override Flags and Indicators	Users with the proper authority can override the "amendment pending" flag or choose to wait until the amendment is processed.	*E - Exact match*	
Additional Rules Letters				
ISS393	"No Record Found"	If no record is found, the system user can alter the order to print a "No Record Found" letter in lieu of the requested output.	*E - Exact match*	The user will print this letter as needed.
ISS394	Letter Specifications Apply	The system requirements relative to generating letters apply to the "No Record Found" letter.	*E - Exact match*	
ISS395	Update Request	The request is automatically changed to reflect that the "No Record Found" letter has printed instead of the appropriate certificate.	*W - Workflow or System Configuration Required*	Typically the user changes the fee type of the record. In this requirement, the printing of the document can trigger that change and the user updates the
ISS396	Refund Certified Copies	When a requestor is found to be ineligible after a search for the record has been performed, the system prints a "No Record Found" letter and refunds the money that the requestor had paid for certified copies, minus the search fee.	*E - Exact match*	This is a manual process that the operator would do in certain situations. The system accomodates the process.
ISS397	More Than One "No Record Found" Letter	When a search requires more than one "No Record Found" Letter, the system does not refund any associated additional copy fee(s).	*E - Exact match*	The system accomodates this process, but the user is normally in charge of deciding this.
ISS398	Sales Statistics Separate "No Record Found" from Certified Copies	When sales reports are ran, "No Record Found" letters can be separated from certified copies.	*E - Exact match*	
ISS399	Productivity Reports	The system allows users to run productivity reports by State-defined sets of data such as types of transactions, users and region.	*E - Exact match*	
ISS400	Request Reports	The system allows users to run reports by State-defined sets of data such as number and type of certificates ordered per customers within a given time period.	*E - Exact match*	
ISS401	Record Hold Letter to Requestor	The system allows the generation of a letter and the printing of an appropriate form for a requestor to resolve a hold code.	*E - Exact match*	

Description: QA order (Box 8); OK? (Box 9); If no, void doc, add note stating the reason for void (Box 10); Has the customer paid? (Box 11); If no, the records enter the Billing Process Queue (Box 12); Generate billing documents (invoice, spreadsheet, final notice after 10 days) (Box 13); Payment received (Box 14); go to step 16.

The QA step can be done by the same individual who filled the request or by a second individual from the Quality Check Queue. The QA processor reviews the source of the request and the delivery option specified. The processor reviews the quality of the print job to determine if any copies were damaged during the print process or not appropriately printed. The order is also checked to ensure all line items were filled. If documents are not correct or clear, the document is marked "void." The QA processor can print new copies and perform QA again.

If the documents pass QA, the system updates the security paper numbers and prepares the order for sending or releasing to the requestor.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS402	**Inventory Rules**	Please see the business rules in Inventory regarding the adding of document control numbers to a record.		
ISS403	Send to QA Queue	For requests received by mail, the system user has the option to send the completed order to the QA Queue so the outputs can be checked against the order by a second person.	*E - Exact match*	Any number of queues can be set up. Some states have used the QA capability queue.
ISS404	QA Immediately	The system user has the option to complete the QA steps without sending the request to the QA Queue.	*E - Exact match*	
ISS405	QA Directly Follows Filling of Order	When an error is found in the printing of the record after the request has been completed, an authorized user can access the request, void the certificate and document control numbers, and reissue the certificate.	*E - Exact match*	
ISS406	Send to Queue	In some cases such as training a new employee, the person filling the order may send the order to the QA Queue to be reviewed by a second person before it is released.	*E - Exact match*	
ISS407	Select from Queue	The QA processor, if s/he is not the person who filled the order, can select completed requests from a queue.	*W - Workflow or System Configuration Required*	Setting up queues to match the customers work flow is easy.
ISS408	View Entire Request	The QA processor can view the entire request, including the document history of the items printed.	*E - Exact match*	
ISS409	Associate Security Paper with Document History	The security paper inventory number used is associated with a specific document in the document history.	*E - Exact match*	
ISS410	Security Paper Not Previously Used	The system automatically checks to make sure that the security paper number being entered has not already been used or voided.	*E - Exact match*	
ISS411	Check Security Paper Number Location	The system automatically checks to see if the security paper number being entered is assigned to the user's location.	*E - Exact match*	
ISS412	No Override on Messages	If the system notifies the user that the security paper number is not available or assigned to the location, an authorized user at the State can make corrections using the Inventory Module before an update to that record can be completed.	*E - Exact match*	All of this is available currently in our system.
ISS413	Update Inventory	The status of the inventory is updated immediately upon the successful completion of a transaction that involves the use of secured inventory.	*W - Workflow or System Configuration Required*	To be clear, the act of printing the document updates the inventory. This might or might not be the entire TRANSACTION from the customer.
ISS414	Correct Input Error	The system provides a manual method of correcting security paper numbers associated with a record by error.	*E - Exact match*	
ISS415	Void Function	The system provides authorized users at the State the ability to void a certified copy and the DCN if the user determines that one or more copies are damaged or not needed.	*E - Exact match*	
ISS416	Print Vault Copy	The system prints a vault copy of all records issued. The functionality may be turned on or off by the State.	*W - Workflow or System Configuration Required*	

Description: Release documents to customer (Box 15)

The documents are released to the customer at the counter or otherwise placed in an envelope and sent to the mailroom for mailing to the requestor.

If the documents are returned to the State, the user notes this in the system by marking the documents as "returned." Once the customer contacts the State regarding the documents, the user accesses the record and updates the incorrect information. The documents are then resent to the customer with the updated information. Returned mail may be sent out to the customer one time at no charge. Any additional re-mails of returned items may be associated with a fee.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS417	Print Receipt for Interagency Transactions	For billable accounts, the system provides the ability for the user to print a receipt showing what was given to the customer.	*E - Exact match*	
ISS418	Update Audit Log for Voids	The system tracks voids in the audit log.	*W - Workflow or System Configuration Required*	This would be an edit on the voiding of the safety paper that creates an audit log entry of that task.
ISS419	Option to Record Reason for Void	The system provides the user with the option to record the reason for voiding a certified copy and/or document control number.	*E - Exact match*	
ISS420	Textual Explanation for Void	The system provides the user with the option of entering a textual explanation regarding why a copy was voided.	*E - Exact match*	
ISS421	Reason List for Void	The system provides the user with a display in the form of a selection list or drop-down menu to indicate the reason a document was voided.	*E - Exact match*	
ISS422	Reprint	The system requires a supervisory override to reprint any documents.	*E - Exact match*	
ISS423	No Effect on Sales Figures	Reprints are not included in sales reporting as a new sale.	*W - Workflow or System Configuration Required*	The caservicefee table houses the logic for this.
ISS424	Void Replaced Copies	The system provides the ability to void replaced copies from a previous request that have been returned, usually because an amendment has been processed and new copies are being produced.	*E - Exact match*	
ISS425	Order Closed	The order is automatically closed when all of the transactions on the order have been completed.	*E - Exact match*	

Additional Rules for Returned Mail and Re-Mails

ISS426	**Search Rules**	Please see the General Requirements, section M - Searching and Matching, for search and duplicate checking rules.		
ISS427	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
ISS428	Returned Mail Queue	The system provides a queue for records marked as "returned."	*E - Exact match*	
ISS429	Open Closed Request	The system allows a closed request to be opened when a mailed certificate is returned because of a bad address.	*E - Exact match*	
ISS430	Capture Date Received	The system provides a place to capture the received date for returned mail.	*E - Exact match*	
ISS431	Comment Box	The system provides a comment box for the user to add any necessary comments.	*E - Exact match*	
ISS432	Request Has Been Re-Mailed	The system provides a checkbox to note that the request has been re-mailed.	*E - Exact match*	
ISS433	Remove from Returned Mail Queue	The system automatically removes a record from the Returned Mail Queue once the record has been marked as "re-sent."	*E - Exact match*	
ISS434	No Fee for First Re-Mail	No fee is associated with the first re-mail.	*E - Exact match*	
ISS435	Fee for Additional Re-Mails	A State-defined fee is associated with any re-mails after the initial re-mail.	*E - Exact match*	This is a choice given to the operator as to the fee type needed for that task.
ISS436	Capture Re-Mail Date	The system provides a place to capture the re-mail date.	*E - Exact match*	
ISS437	New Address	The system provides a place to capture the new address for the re-mail.	*W - Workflow or System Configuration Required*	Typically this is the main address but could be an additional address
ISS438	Service Transaction Type: Re-Mail	The system provides a service transaction type for re-mail.	*W - Workflow or System Configuration Required*	The state will specify the service transactions.
ISS439	Print with New Address	The system allows a user to print a copy of a receipt with the new address information received from a re-mail.	*E - Exact match*	

Description: Order complete? (Box 16) If no, search for the record again (Box 1).

The system user continues to search for records and print appropriate outputs until all items on the request have been filled. When all items have been filled, the order is marked "Ready for QA" or an equivalent status. If the order is a credit card order, the receipt produced by the EVRS system is matched to the certified copies so it can be sent to the customer with the documents. If a refund is due and the request was processed on the same day as the refund, the refund can be made from the cash drawer. If the order will be charged, the record is available for billing.

Orders are prepared for mailing to the requestor based on the handling instructions on the request.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS440	Allow Refunds on Same Day	The system allows for same-day refunds, provided that the business day has not closed.	*E - Exact match*	
ISS441	Review Potential Refunds	An authorized user can select and review a list of all requests for which a refund has been requested.	*E - Exact match*	
ISS442	Final Refund List	The user can produce a refund list.	*E - Exact match*	
ISS443	Remove Items from Refund List	The user can remove items from the refund list.	*E - Exact match*	
ISS444	Excluded Refunds Closed	Items removed from the refund list are excluded from future refund lists.	*W - Workflow or System Configuration Required*	Items can also be put back on the refund list at a later time.
ISS445	Change Request Status	When all of the items on the request have been filled, the request status is changed to "complete" or equivalent.	*E - Exact match*	
ISS446	Notification to Customer Upon Release of Order	The system sends an email notification to the customer upon release of an order if an email address was provided.	*E - Exact match*	The system can send email to the customer either when an individual request is completed or we could do it when the entire application is completed.

Additional Rules for County

Issuance at the county occurs in the same way as the State office with a few exceptions.

Please note: Issuance rules in the Issuance - Counter Flow apply and are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
ISS447	**Search Rules**	Please see the General Requirements, section M - Searching and Matching, for search and duplicate checking rules.		
ISS448	**Queues Rules**	Please see the General Requirements section N - Queues for rules of queues.		
ISS449	Services Differ	The types of services provided at different counties may vary.	*E - Exact match*	
ISS450	County Cannot Complete Amendments	The system does not allow a user at the county to complete an amendment.	*E - Exact match*	
ISS451	Same Screens as State	Request screens and corresponding edits for the county are the same as the State's.	*E - Exact match*	
ISS452	State Specifies County Capability	The State has the ability to specify which event types and certificate types each county may issue.	*E - Exact match*	

ISS453	Turn On/Off Access for All Counties	The system provides the ability to turn on and off the feature that allows any county to access any record.	*W - Workflow or System Configuration Required*	This is dependent upon their function group.
ISS454	Turn On/Off Access for Specific County	The system provides the ability to turn on and off the feature that allows a specific county to access any record.	*W - Workflow or System Configuration Required*	This is dependent upon their function group. In addition, for that one county, their Location entry in the system can stop or allow other generic accesses to happen.
ISS455	County Access to Records	Counties have the ability to view all vital event records regardless of the county of occurrence.	*E - Exact match*	
ISS456	County May Only Issue Their Records	Counties may issue records for their county only.	*W - Workflow or System Configuration Required*	This is a set of criteria in the printing document wizard to allow this.
ISS457	Validate Payment Method	The system checks each account to ensure that the method of payment being used is valid for that requestor.	*W - Workflow or System Configuration Required*	
ISS458	"Hold" Flags	Authorized users can put temporary "hold" flags on accounts with charging privileges that prevent that method of payment from being used.	*E - Exact match*	
Release of Order at County (Counter)				
ISS459	Same Rules	The rules for releasing an order at the State apply to the local health departments.		
ISS460	Same Accounting Reports as State	The system produces the same accounting reports at the local level that are produced at the State level to facilitate day-end closing and State audit requirements for each county.	*E - Exact match*	

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

OVERVIEW OF THE BUSINESS PROCESSES FOR PROCESSING AMENDMENTS

Amendments types in the state include: administrative corrections, legal corrections, medical information including pending cause of death, adoptions, foreign born, Legitimations, paternities, and court orders. The request for an amendment may come from a system user or directly from an individual. If the request is through an individual, they may mail in the request or bring it to a counter at the State or County of occurrence, and a flag is applied to identify which. If the request is initiated at the County, the County will data enter the changes to the recorded and scan and attach the supporting documentation. The record is then queued for the State's review. The system will recognize if the record is a simple change such as a name change, and will queue the record in the Customer Waiting Queue. All other records will be queued in the State's review queue to be processed as needed. When an Amendment is mailed or brought to the State office, the Corrections staff will process the entire amendment if possible. The record may need be held in a Pending Active Queue for the Corrections staff to re-access the record as needed. More than one person can process the records from the queue and a messaging system will be implemented to ensure that different users can communicate/collaborate on records. If required documentation is missing, the record is put into a Waiting Queue and is automatically flagged. In the meanwhile, the requestor is contacted regarding the incomplete documentation and instructed to resubmit the application.

Amendments often need an affidavit to initiate the change. If an affidavit is needed, it can be presented in person, through the mail, or electronically through the system. A request application is generated in the Point of Sale module; this request application is linked with the actual record that will be amended. Acceptance of an amendment request is based on the eligibility of the requestor and the supporting documentation presented. Please see Issuance for business rules.

When sealed files are required, the original record is saved and linked to the new replacement record but is no longer visible except to authorized personnel. For electronic records, it should be sealed electronically. When an amendment has been completed, the system automatically updates the Issuance Queue.

NAPHSIS use case models:
EBRS UC 018 v. 1.9 - Register a Record
MVRS UC 006 v. 2.2 - Modify a Registered Record
MVRS UC 010 v. 1.4 - Responder Responds to RFI
MVRS UC 012 v. 1.5 - Search
POS UC 003 v. 1.3 - Update a Request

BUSINESS PROCESS: System User Requests a Correction to a Registered Record

System users can request a correction to a registered record within the first year of the date of the event. System users can do this electronically through the system for their records only. The system provides a way for users to see the current certificate information in a read-only format while allowing the user to enter the requested correction information in the system. The user may also request additional certified copies when requesting the correction.

For birth: After one year of the event, a court order and/or documentation is required to justify any changes. If minor changes are to be made to the birth record within one year, they can be made using the Birth Worksheet as reference. Only obvious errors may be changed for last name and require proof from the mother and father. First and middle name changes may be done without proof until one year from birth; thereafter, an affidavit is required. Changes cannot be made to the year of birth. Place of birth, age, and DOB of parents are all changeable if proof, including an affidavit, is provided by the parents to substantiate the changes. Gender can be changed with proof from the hospital or by court order. If there are clerical errors on the part of the hospital, they can initiate changes without a court order.

For death: Funeral directors may change another funeral director's records as long as they are part of the same funeral home or group, or are affiliated in some other professional way. If one funeral home is bought by another, the new funeral home will assume responsibility for all of the records made by the old funeral home. The new funeral home will have the responsibility of changing/amending any of the old records and any record after the sale will be changed to reflect the new funeral home's information.

Description: Log into system (Box 1)

The system user logs into the system.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC1	**User Log In**	Please see the General Requirements section B -User Authentication for rules related to user log in.		
AC2	**User Profiles**	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
AC3	**Record Ownership and Access**	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access		
AC4	Request Corrections Within One Year of Event	All external system users may request birth corrections through the system for their records within one year of the date of the event.	W - Workflow or System Configuration Required	
AC5	Court Order After One Year	The system requires a court order or affidavit for any correction or amendment after one year.	W - Workflow or System Configuration Required	
Additional Rules for death records				
AC6	No Time Limit for Funeral Homes	All funeral homes may process death corrections through the system for their records with no time limit after the date of the event	E - Exact Match	
AC7	No Time Limit for Medical Examiner	All medical examiners may process death corrections through the system for their records with no time limit after the date of the event	E - Exact Match	
AC8	Medical Certifier (Physician) May Amend Medical Information	Certifiers may amend medical information within the same facility.	W - Workflow or System Configuration Required	
AC9	Medical Certifier (Medical Examiner) May Amend Medical Information	Certifiers may amend medical information only within their records.	E - Exact Match	Certifiers can only display their own records.
AC10	Medical Examiner Exception	There is no limit to the number of times a Medical Examiner can update the death record information.	E - Exact Match	
AC11	Funeral Home Exception	Funeral directors within the same funeral home or funeral home group/affiliation can amend one another's records.	E - Exact Match	
AC12	Funeral Home Sale	If a funeral home is acquired by another funeral home, all records owned by the old funeral home become property of the new funeral home.	W - Workflow or System Configuration Required	
AC13	Funeral Home Name Change	If a funeral home is acquired by another funeral home, the system allows the record to print the new funeral home's information on their record.	W - Workflow or System Configuration Required	
AC14	Funeral Home Request	Funeral homes are only able to change the records that they are affiliated with, regardless of actual funeral home on record.	W - Workflow or System Configuration Required	

Description: Create correction request or amendment (Box 2)

The user will create a correction request through the system.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC15	**Issuance Rules**	Please see the business rules for Issuance for creating a request in the system.		
AC16	**Search Rules**	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
AC17	**E-Notary**	Please see General Requirements section T - Electronic Signature and E-Notary for rules related to e-notary as they apply here.		
Additional Rules for amending birth record				
AC18	No Changes Without Court Order	If a particular item on a birth record has been changed once, no further changes can be made without a court order.	E - Exact Match	
AC19	First and middle Name Change	The system allows the child's first and middle names to be changed through a notarized affidavit until the child's first birthday.	W - Workflow or System Configuration Required	

AC20	Track Changes and Date of Change	The system will track which item was amended on a certificate, and the date of that amendment.	E - Exact Match	Standard capability of the Change/Request system.
AC21	Last Name Change	Last name changes require proof from the mother and father through a notarized affidavit.	W - Workflow or System Configuration Required	
AC22	Parent's Name	The system allows the parents' names to be changed with the exception of last name.	W - Workflow or System Configuration Required	
AC23	Change with Affidavit Marked "Amended"	Any change requiring an affidavit will be marked "amended" on the record.	W - Workflow or System Configuration Required	
AC24	Source of Amendment	An open field will capture the source of the amended information (e.g. affidavit, court order, hospital records).	E - Exact Match	
AC25	Name Changes Marked "Amended"	The new birth certificate will be marked "amended" any time a name is amended, regardless of the timing of the amendment	E - Exact Match	
AC26	Override Amendment Stamp	Authorized users can override the amendment stamp in special circumstances.	E - Exact Match	
AC27	Comment with Reason for Override	If an authorized user opts to override the amendment stamp, a drop down menu with reasons for the override is opened. The user must select a reason to complete the override.	W - Workflow or System Configuration Required	Have to add dropdown. Currently just a comment.
AC28	Authorized User Mark Record as "Amended"	An authorized user may add an amendment stamp to a record if a minor correction took place to a record but did not require an affidavit, within one year of the DOB/DOD. An amendment stamp cannot be placed on a record that has had no corrections or amendments to it.	W - Workflow or System Configuration Required	Specific edits for WV.
AC29	Date of Birth of Parents	The system allows the DOB of parents to be changed with documentation.	W - Workflow or System Configuration Required	
AC30	Place of Birth	The system allows the place of birth to be changed with documentation.	W - Workflow or System Configuration Required	
AC31	Date of Birth	The system allows the date of birth to be changed with the exception of the year, with proof from the hospital or supporting affidavit.	W - Workflow or System Configuration Required	
AC32	Gender Change	Gender can be changed with proof from the hospital.	W - Workflow or System Configuration Required	

Description: Retrieve record and auto-populate request form with read-only information (Box 3)

The system retrieves the original record and the user is able to view the original record in a read-only format. The request is auto-populated with the information that was originally entered.

Please note that the rules for this section follow the same rules detailed for boxes 5-6 from the Amend a Registered Record Flow. The rules are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC33	Queues Rules	Please see the General Requirements section N - Queues for rules of queues. Amendments will be queued based on type of amendment.		
AC34	Requestor Must be Owner of Record	A requestor can only request amendments to records in which they are the owner.	E - Exact Match	
AC35	Change Person Requesting	If a request is rejected for correction, the person signing and submitting the request the second time may be different from the person initiating the request, although they need to originate from the same facility (i.e. medical examiners in the same office; funeral directors at the same funeral home).	W - Workflow or System Configuration Required	
AC36	Cancel Request for Correction	The system allows requestor to cancel a correction, record a cancellation reason, and change the status to "closed."	W - Workflow or System Configuration Required	
AC37	Removal of Cancelled Request for Correction	Upon indication of a cancelled request for a correction, the cancelled request for a correction is removed from the State's Pending Queue.	W - Workflow or System Configuration Required	
AC38	Cancellations Prior to Approval	The system only allows the requestor to cancel a request for a correction prior to State approval.	E - Exact Match	
AC39	Notes for Cancellation	A note section will be available so the user may identify the reason for the cancellation.	E - Exact Match	
AC40	Cancellation Becomes Part of History	Each cancellation becomes part of the history of the record.	E - Exact Match	
AC41	No Request for Records Over One Year After Date of Event	For records one year or more past the date of the event, the system does not allow a hospital to submit a request for a change to a record.	W - Workflow or System Configuration Required	

Description: Enter correction information or amendment (Box 4); System edits run (Box 5); OK? (Box 6); Scan and attach affidavit or other supporting documents (Box 7); Print affidavit if necessary (Box 7a)

The user enters the information to be amended. The system runs an edit check to confirm that the information entered is okay to proceed. Affidavits or other supporting documentation is are scanned and attached to the record.

Please note that the rules for this section follow the same rules detailed for boxes 9-12 from the Amend a Registered Record flow. The rules are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC42	Amend Registered Record	The business rules from the previous section apply to this flow.		
AC43	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
AC44	Multiple Documents	One or more documents can be scanned.		
AC45	Unlimited Changes	There is no limit to the number of changes that can made in one request.	E - Exact Match	
AC46	Supporting Documents Attached	The system allows the user to indicate what supporting documents are attached.	W - Workflow or System Configuration Required	
AC47	Include Original Document Number in Pending COD	The amendment request record includes the state file number and medical examiner case file number (if applicable) of the original document being amended.	W - Workflow or System Configuration Required	
AC48	Rejected Request Queue	The user can access a rejected amendment request from the Rejection Queue or by entering State defined search criteria such as the amendment request tracking number or name on record.	W - Workflow or System Configuration Required	
AC49	Adding/Attaching Documents to Amendment	The system allows the attaching of supporting documentation (scanned or other electronic) to the amendment at any time.	E - Exact Match	
Additional Rules for Birth Amendments				
AC50	Exception Regarding Year of Birth	External system users cannot make changes to the year of birth without a court order.	W - Workflow or System Configuration Required	
AC51	Exception Regarding Place of Birth	External system users cannot make changes to place of birth without a court order.	W - Workflow or System Configuration Required	
AC52	Exception Regarding Age on Record	External system users cannot make changes to the age listed on the record without a court order.	W - Workflow or System Configuration Required	
AC53	Exception Regarding Date of Birth of Parents	External system users cannot make changes to the date of birth of parents without a court order.	W - Workflow or System Configuration Required	

Description: Electronically sign request and order copies (Box 8)

The requestor electronically signs the request form and the system provides the user with the ability to order copies of the certificate and/or amendment, if desired. The requestor submits the correction request form and the request for certified copies to the State. The request is queued in the appropriate amendment queue at the State based on the type of amendment being requested.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC54	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
AC55	Issuance	Please see the business rules for Issuance.		
AC56	Resolve Errors	The correction cannot be marked "complete" if all of the required fields in the request have not been completed.	E - Exact Match	
AC57	Record Leaves Queue	Once the request is complete, it leaves the queue and is ready for State.	E - Exact Match	
AC58	Confirm Request	The system prompts the user to confirm that s/he is finished with the request and that the information provided is correct. Prompt could be an action such as selecting a check box. This action makes the user responsible for confirming that the request is valid.	E - Exact Match	Accomplished via Y in the Completed field.
AC59	Save as Pending	The user may choose to save the request as pending and submit the request at a later time.	E - Exact Match	
AC60	Only Authorized Users May Submit	Only authorized users may submit a correction.	E - Exact Match	
AC61	Queue for Signature	If a user not authorized to sign creates the initial amendment request, the request can be directed to a queue for the authorized signer.	W - Workflow or System Configuration Required	Can create an additional role for this separation of duties.
AC62	Update Correction Request Status "Correction Request Transmitted"	The system updates the correction request status to "Correction Request Transmitted" or equivalent when the request has been signed.	W - Workflow or System Configuration Required	
AC63	Signing Submits Request to State	The act of submitting the correction request causes the request to be submitted to the State, where all processing of correction requests occurs.	E - Exact Match	
AC64	Request Copies	The system allows a funeral establishment to request the number of certified copies when the correction request is submitted.	W - Workflow or System Configuration Required	This will require a number of fields to be added to the Change/Request system to accommodate this requirement.

AC65	Invoice	The system allows a previously approved requestor to invoice fees associated with the correction request.	W - Workflow or System Configuration Required	This will require a number of fields to be added to the Change/Request system to accommodate this requirement.
AC66	No Fee for Obvious Errors	For obvious errors, the record is updated administratively and fees are not collected.	E - Exact Match	
AC67	Ability to Re-Correct a Correction	A user may edit the request for a correction until it is submitted to the State.	E - Exact Match	
AC68	Cancel a Correction Request	The system allows an authorized user to cancel a correction request that has not been submitted to the State.	W - Workflow or System Configuration Required	

Description: Submit to Vital Records (Box 9)

Once signed, the request moves to Vital Statistics

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC69	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
AC70	Pending Amendment Queue	The system provides a queue for system users that contains all pending amendments.	W - Workflow or System Configuration Required	
AC71	Sent to State	Once the user electronically signs an amendment, the record is automatically sent to the State's review queue.	E - Exact Match	

Description: Vital Records reviews (Box 10); Approved? (Box 11); Register amendment (Box 12); Send notification to requestor and county (Box 13); Ready to issue queue for the county (Box 13a)

Vital Records reviews amendment requests that are received and approves the changes. The amendment is applied and a notification is sent to the requestor that the amendment is complete.

Please note that the rules for this section follow the same rules detailed for boxes 1-6 from the Amend a Registered Record flow. The rules are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC72	Amend Registered Record	The business rules from boxes 1-13 apply to this flow.		
AC73	Complete Amendment Notification	The system will send a message to the system user once the amendment is complete and ready to issue.	W - Workflow or System Configuration Required	Fields need to be added for this messaging. Currently working with workqueues to provide this capability to the CAS user to Issue

Description: If not approved, reject cycle back to EVRS user requestor (Box 14); EVRS requestor accesses reject queue (Box 15); Updates/corrects information and runs edit checks (Box 16); OK? (Box 17); Fix error (Box 18)

If the record cannot be processed at the State, a message is sent through the system to the requestor indicating the errors. The record is moved to the requestor's queue. The requestor accesses the request form from the queue and updates and/or corrects information in the request. Edits run to ensure that no errors exist. If errors are found, the user continues to edit/update the information until there are no errors. When all the edits have passed, a message is sent through the system back to the State indicating the request has been corrected. The corrected request form is added to the appropriate queue for the State.

Please note that the rules for this section regarding the Rejection and Correction Cycle follow the same rules detailed in box 12 (Rejection and Correction cycle) from the Amend a Registered Record Flow. The rules are not repeated here.

Please note that the rules for this section follow the same rules detailed for boxes 10-11 from the Amend a Registered Record Flow. The rules are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC74	Query Message	Please see General Requirements, section Q - Messaging through the System, regarding rules related to query messages for system users.		
AC75	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
AC76	Same Rules	The business rules for the Query and Rejection Cycle are the same as for box 12 from Amend a Registered Record flow.		
AC77	Same Rules	The business rules for entering amendment information and edit checks are the same as for boxes 5 from Amend a Registered Record flow.		
AC78	Rejection Queue	The system provides a work queue for rejects (all events).	W - Workflow or System Configuration Required	
AC79	Message to Requestor	The system sends a message electronically to the system user that requested the amendment to alert them of errors that need to be fixed.	W - Workflow or System Configuration Required	Ensure adequate fields on the Change Request for provide this message.
AC80	Return Request	The system allows a user to reject an amendment request back to a requestor for correction/additional information.	E - Exact Match	
AC81	Modify Amendment Request	The system allows a requestor to modify an amendment request that has been rejected back from the State.	E - Exact Match	
AC82	Remain in Queue	An amendment request that contains one or more rejected items remains active until the remaining items are resolved or until it is closed by the system user.	E - Exact Match	
AC83	Record Leaves Queue	Once the record is complete, it leaves the queue and is ready for issuance.	E - Exact Match	
AC84	Record Printing	The record is printed in either a long form or short form. There will be a footnote on the record indicating "amended" along with an amendment history on the amended copy.	W - Workflow or System Configuration Required	State to define the Amended verbiage.

AC85	Report Printing Option	The option to print the footnote on the record can be turned on and off.	E - Exact Match	

End of the Rules for System User Requests a Correction to a Registered Record

BUSINESS PROCESS: AMEND A REGISTERED RECORD

If an error is discovered on a registered record, the record must be amended with the correct information. There are several ways an amendment can occur.

1. The requestor may go to the county where the event occurred and request an amendment;
2. The requestor may send in the request or court order to the State office;
3. A medical certifier or funeral home may initiate the change through the system (this process is described in the next section).

If the amendment request is initiated at the State (either by mail or at the counter), the State user will log into the system and enter the application request in the Point of Sale (POS) module for tracking and issuance purposes. The record is then retrieved by the type of amendment to be processed. The electronic amendment request is auto-populated with the certificate information. The certificate information is read-only to prevent alteration. The amendment information is keyed into the electronic request form. The edit checks are ran and any errors are corrected. Once the request passes the edit checks and all supporting documentation is scanned and attached to the record, the record is queued at the State for the Corrections/Amendments unit to process. Money is receipted through EVRS or the county system.

For legacy records not originated in the system, two actions may occur.

1. The State accesses the image of the legacy record (a scanned image of the original document) that is in the system and a decision is made about whether the amendment can be processed.
2. The county accesses the image of the legacy record (a scanned image of the original document) that is in the system, data enters minimal information from the image into the database, and submits an amendment request to the State.

If the amendment cannot be processed, the State either informs the applicant (requestor or registrant) via email or a system generated rejection letter, or calls the requestor to get more information. The request is held in the Pending Queue until the applicant (requestor or registrant) provides the additional information. When received, the State retrieves the record from the Amendment Queue. The State updates the system, and an email or other notification is sent to the requestor that the amendment is completed. If no copies are requested, no further action is required. If copies are requested, the appropriate copies are printed and delivered to the customer.
If the record being amended originated in the system, the State retrieves the record from the Amendment Queue and processes the amendment.

If the amendment request is initiated by mail at the State, the State user will enter the application request and receipt the money in the POS module. The record is then retrieved by the type of amendment to be processed. The electronic amendment request is auto-populated with the certificate information. The certificate information is read-only to prevent alteration. The amendment information is keyed into the electronic request form. The edit checks are ran and any errors are corrected. Once the request passes the edit checks and all supporting documentation is scanned and attached to the record, the record is queued at the State for the Corrections/Amendments Unit to process.

Description: State accesses amendment queue (or searches for the record) (Box 1)

Please note: All rules that relate to requests for an amendment are listed in Issuance requirements and are not repeated here.

The user accesses the Amendment Queue or alternatively searches for the record.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC86	User Log In	Please see the General Requirements section B -User Authentication for rules related to user log in.		
AC87	User Profiles	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
AC88	Record Ownership and Access	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
AC89	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning.		
AC90	Search Rules	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
AC91	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
AC92	Issuance Rules	Please see Issuance business rules for all rules related to creating a request and receipting.		
AC93	Messaging	Please see General Requirements, section Q - Messaging through the System, regarding rules related to query messages for system users.		
AC94	Amendment Screens State Defined	Amendment screens are State defined.	W - Workflow or System Configuration Required	The basic Change Request screens are standard. Some WV related fields can be added to provide the functionality for this
AC95	Automatically Queue for State	Correction and amendment requests created at the counties are automatically queued for process at the State.	E - Exact Match	
AC96	Assess and Create	The system provides the State user with a method of accessing an event record and making a correction without having to first place the request in a queue.	W - Workflow or System Configuration Required	The state user can enter and complete the change request if their security allows it. Typically there is a two step process for state
AC97	Processing a Queue	The system allows more than one person to process records from the same queue at a time.	E - Exact Match	
Amendment Queues				

AC98	Active Queue	The system provides a queue for all open amendments.	E - Exact Match	
AC99	Review Queue	The system provides a work queue for training purposes. New users or those determined by a supervisor will have their work reviewed prior to completion of the amendment.	W - Workflow or System Configuration Required	
AC100	Supervisor Approval Queue	The system provides a work queue for amendments where a supervisory review prior to completion is required. In the case of adoptions, the system has the ability to move the record to the Supervisor Queue.	W - Workflow or System Configuration Required	Normally this is the case for a two factor supervisor approval.
AC101	Pending Queue	The system will provide a Pending Queue by amendment type for all records waiting further information or investigation.	E - Exact Match	
AC102	Display Statistics in Queue	Each queue displays statistics about how many items are in the queue and how long the items have been in the queue.	W - Workflow or System Configuration Required	The number of items in the queue are displayed and the queue is sorted by date so the oldest is at the top.
AC103	Customer Waiting Queue	The system provides a work queue for corrections in which the customer is waiting for the State to review the record	W - Workflow or System Configuration Required	This is in the CAS system where the person entering the information sets this flag. That puts this in a customer waiting
AC104	Customer Waiting Criteria	Customer waiting criteria is State defined.	E - Exact Match	
AC105	Identifying Customer Waiting Options	The system can identify which type of correction can be queued in Customer Waiting.	W - Workflow or System Configuration Required	The customer waiting flag is on the CAS request record. That could be transferred to the change request but that is before any
AC106	Customer Waiting Automatic	The system will automatically queue records in the Customer Waiting queue.	W - Workflow or System Configuration Required	
Birth Amendment Queues				
AC107	Adoption Queue	The system provides a work queue for adoptions.	W - Workflow or System Configuration Required	
AC108	Out-of-State Adoption Queue	The system provides a queue for when the State receives a court order for adoption of a child born out of state. This queue allows the State to forward the adoption to the correct state where the birth certificate will be created.	N - Cannot Meet	This is undefined on how to "Forward the Adoption" and therefore we have to answer it as Cannot Meet.
AC109	Birth Amendments Queue	The system provides a work queue for birth amendments.	E - Exact Match	
AC110	Foreign-Born Adoption Queue	The system provides a work queue for foreign-born adoption amendments.	W - Workflow or System Configuration Required	
AC111	Birth Amendments within 1st Year Queue	The system provides a queue for birth amendments within the first year. Only amendment requests that take place within one (1) year of the DOB are placed in this queue.	W - Workflow or System Configuration Required	
AC112	Birth Corrections Queue	The system provides a corrections queue for birth records.	E - Exact Match	
Fetal Death Amendment Queues				
AC113	**Fetal Death Queue**	The system provides a work queue for fetal death amendments.	W - Workflow or System Configuration Required	
Death Amendment Queues				
AC114	Death Amendments Queue	The system provides a work queue for death amendments.	E - Exact Match	
AC115	Death Amendments within 1 Year Queue	The system provides a queue for death amendments within the first year. Only **amendment requests that take place within one (1) year from the DOD are placed in this queue.**	W - Workflow or System Configuration Required	
AC116	Death Corrections Queue	The system provides a queue for corrections to a death records. Only State defined fields within the death record can have corrections made to them.	E - Exact Match	State defined fields for death. Type of fields for type of amendments are housed in the ChangeRequest-Fields table.
AC117	Pending COD queue	The system provides a queue for pending cause of death.	W - Workflow or System Configuration Required	
AC118	Medical Amendment Work Queue	The system provides a queue of records for all amendment requests to any medical field.	W - Workflow or System Configuration Required	

Description: EVRS Record? (Box 2); If yes, Review the amendment request and supporting documentation (Box 3); Can process? (Box 4); If no, Rejection and Correction Cycle (Box 5); If yes, Accept Correction/Amendment (Box 6)

The user checks to see if the record is an EVRS record. If it is an EVRS record, the user reviews the amendment request and supporting documentation to determine if the amendment can be processed.

The type of amendment dictates the type of changes to be made in the database. In some cases, the original record may be corrected. Hold codes may be updated or added. The system saves the amendment request in history. History is also created to show the details of the changes made to the record, tying the record history to the specific amendment by date and the amendment request tracking number. A specific item on a record may only be changed once.

If the record cannot be processed, the user sends the record through the Rejection and Correction Cycle until the record can be processed. Once the record can be processed, the system accepts the correction/amendment.

Supporting documentation is scanned into the system and attached to the original record.

Please note: All the rules regarding the Rejection and Correction Cycle for a record are defined in the Rejection and Correction Cycle flow apply to this process and are not repeated here.

	Business Rule Name	Business Rule Description	Vendor Response	Comments
AC119	Search Rules	Please see the General Requirements, section M- Searching and Matching, for search and duplicate checking rules.		
AC120	Queues Rules	Please see the General Requirements section N - Queues for rules of queues.		
AC121	Query and Rejection Cycle	Please see Query and Rejection Cycle business rules, regarding rules related to rejection and corrections of System records.		
AC122	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system		
AC123	Second Review	Please see the General Requirements section HH - Second Review Capability for all rules related to second reviews.		
AC124	Amendment Screens	Amendment screens are specific to the type of amendment.	W - Workflow or System Configuration Required	The change request system has tabs that can be tailored to the state specific needs for that amendment. In addition only the
AC125	State Processes Requests at Time of Creation	At the State, all correction and amendment requests are processed at the time the request is created, unless the user takes an actionable step to put the requests in a queue for later processing.	E - Exact Match	The state amendments user can enter and process the change at one time if the documentation is available.
AC126	Request is Read-Only	The request application is viewable in read-only mode for the user.	W - Workflow or System Configuration Required	
AC127	Memo of Instruction	The user can view or print a short memo of instruction for any items on an amendment request.	W - Workflow or System Configuration Required	
AC128	Delete Scanned Documentation	The ability to delete a scanned document associated with a record is role-based and defined by State.	E - Exact Match	
AC129	Multiple Amendment Codes Allowed on Single Record	The system allows for multiple amendment codes. Amendment codes are State defined.	W - Workflow or System Configuration Required	Considering amendment codes are simply descriptive fields and not the Amendment Type. Only one amendment type can be
AC130	Delayed Indicator	If an amendment is processed on a record on which there is a "delayed" indicator, the amendment is processed without resetting the "delayed" flag.	W - Workflow or System Configuration Required	
AC131	Update System Records Automatically	If the record being amended was created by the system, the record is updated automatically from the information in the amendment request once approved.	E - Exact Match	The Change Request system allows the user to choose the fields and the values to change. Those will change the original record if
AC132	Data Entry at County	The system allows the county in which the request was made to data enter amendment information into the system.	E - Exact Match	
AC133	Review by State	Any amendment keyed by the county must be reviewed by the State.	E - Exact Match	
AC134	Accept Changes	The system requires a State user to take an actionable step to accept amendments and corrections on a record.	E - Exact Match	The dual authorization requires the state amendment person to ACCEPT the changes with a flag field.
AC135	Certified Copies Issued	If certified copies have been issued, the system generates a letter to the requestor recalling the copies.	W - Workflow or System Configuration Required	The doctracking is searched for this amended record and if certified copies have been produced, the applicant ID in the
AC136	Certified Copies Issued, Record Queued in Pending	If certified copies have been issued, the record is held in a queue until such time as all the certified copies have been returned to the State or the State does an override.	W - Workflow or System Configuration Required	Fields added for RETURN REQUESTED and OVERRIDE.
AC137	Screens Follow Worksheets	Where appropriate and as defined by the user, the amendment screens follow the layout of corresponding forms and worksheets to ensure ease of data entry.	W - Workflow or System Configuration Required	The drop down of fields to choose from can be sorted by the worksheet order. And any special tabs can be in the worksheet
AC138	Dual Monitor Screens	The user may view the image of the original record while entering amendment or corrections information on a separate monitor screen to complete the amendment request (dual monitor screens).	E - Exact Match	
AC139	Auto-populate original information	The system auto-populates the current values of the fields to be amended.	E - Exact Match	
AC140	Read-Only	Current information is displayed in a read-only format; the original fields are locked.	E - Exact Match	
AC141	Visual Cue for Items Selected for Update	The system provides a way for the user to know which changes on an amendment request have been made and which have not been made.	W - Workflow or System Configuration Required	All changes are made when the process is ACCEPTED or none are done.
AC142	New Values	An open field is displayed next to or below each piece of data that can be changed to allow the user to enter the new value.	E - Exact Match	
AC143	Consistent Controls	Field controls for entering correction information are consistent with the entry of a new record.	W - Workflow or System Configuration Required	Fields controls are consistent.
AC144	Consistent Edits	Field and cross-field edits are consistent with the entry of a new record.	W - Workflow or System Configuration Required	The last step in the amendment process is to redisplay the changed event record and do an UPDATE. This is when the Field
AC145	Resolve Errors	The amendment cannot be marked complete if there are unresolved errors in the record.	W - Workflow or System Configuration Required	The amendment has already been marked Complete at this time. The user needs to either fix or override the errors in the event
AC146	Date Amended	The date the amendment is complete is auto-populated from the system date.	E - Exact Match	

AC147	Mark Amendment Complete	The system requires a specific action to mark the amendment complete.	E - Exact Match	Putting a Y in the appropriate field on the Change request by the authorized person.
AC148	Reason Codes Available	The system provides the user with the ability to select a reason code for the requested change.	W - Workflow or System Configuration Required	
AC149	Select Reason Codes	The user selects a reason code for the change from a drop down list of reasons.	W - Workflow or System Configuration Required	
AC150	Reason Codes Specific to Each Change	Reason codes and supplemental notes are specific to each piece of data that is changed.	W - Workflow or System Configuration Required	Fields might need to be added if these are needed for each field that is changed.
AC151	Reason Code Must be Selected	A reason code for each change must be selected in order for the amendment to be filed.	W - Workflow or System Configuration Required	
AC152	Additional Notes	The system provides a display where the user may enter additional explanatory notes regarding the requested changes.	W - Workflow or System Configuration Required	
AC153	Additional Notes for Each Reason	Additional explanation notes may be attached to each reason.	W - Workflow or System Configuration Required	
AC154	Reason Codes State defined	Reason codes are State defined.	E - Exact Match	
AC155	Edit Check Against Reason Codes	The edit set against the reason codes is State defined.	E - Exact Match	
AC156	Display Message	The system displays a message to the user indicating the results of the edit check against reason code.	W - Workflow or System Configuration Required	
AC157	One Amendment Per Data Element	When a second amendment is initiated on the same data element in a record, the amendment cannot be processed without a court order.	W - Workflow or System Configuration Required	There are edit checks currently dealing with the second change to a field. We will enhance the edit to include checking for court
AC158	Capture Court Order Information	The system allows the user to capture the court order information for the subsequent amendments to a data field.	W - Workflow or System Configuration Required	
AC159	Court Order Information State Defined	The information from the court order that will be captured for subsequent amendments is State defined.	W - Workflow or System Configuration Required	
AC160	Court Orders and Adoptions	A court order or adoption may be filed after an amendment has been completed on the record without firing the "one amendment per data element" edit.	W - Workflow or System Configuration Required	There are rules to the One Change field mechanism
AC161	Override Requirement for Court Order	A designated State user may override the restriction on a second amendment without a court order.	W - Workflow or System Configuration Required	
AC162	Selective Update	The system user may selectively make some but not all of the requested changes.	W - Workflow or System Configuration Required	Some might be rejected.
AC163	History Viewable	The history of a record is easily available when processing an amendment.	W - Workflow or System Configuration Required	
AC164	Correction History	Corrections or amendments of registered records trigger the creation of a change history record. The fields are State defined and includes but are not limited to original data, corrected data, date of the change, person requesting change and person approving change, if applicable.	N - Cannot Meet	
AC165	Selection List of Supporting Documentation	The system provides the user with a selection list from which to select the supporting documentation presented by the requestor. The list is specific to the amendment type.	W - Workflow or System Configuration Required	
AC166	Other Supporting Document	If a supporting document used to substantiate an amendment is not included in the list, the user may select "Other" and enter the document type.	W - Workflow or System Configuration Required	
AC167	Allow Comments with Document List	The system allows the user to enter notes about the documents listed.	W - Workflow or System Configuration Required	
AC168	Specify Document Type	The user can select a document type from a State defined list to identify the type of document being scanned.	W - Workflow or System Configuration Required	
AC169	Associate Documents with Amendment	The scanned documents are automatically associated with the original record for which an amendment has been requested.	W - Workflow or System Configuration Required	The scanned documents are associated with the Change request that initiated the change to the record.
AC170	Associate Document with Amended Record	When the amendment is finalized, the associated documents are linked with the registered record that was amended.	W - Workflow or System Configuration Required	This can be done, but typically the final record is kept clean of older scanned documents and court orders.
AC171	Scan Anytime	Scanning can occur anytime in the process after the amendment has been started.	E - Exact Match	
AC172	Scan Multiple Times	Scanning can occur at multiple times in the process for the same amendment.	E - Exact Match	
AC173	Search for Another Record	The system provides the ability to search for and print a copy of another record in the system as supporting documentation while processing an amendment.	E - Exact Match	
AC174	Enter Reference Information	The system provides fields that allow the user to enter the reference information from the other record into the current amendment as supporting documentation instead of printing the document. Reference information is State defined.	E - Exact Match	

AC175	Reference Information State Defined	The reference information fields to be entered into the record are State defined and will consist of, at a minimum, name, event type, event year, SFN and relationship.	W - Workflow or System Configuration Required	Fields can be added as needed.
AC176	Supervisory Overrides	Any amendments requiring supervisory review or override are sent to the Supervisor Queue for review prior to completing the amendment processing.	W - Workflow or System Configuration Required	Make sure the queue is named correctly.
AC177	Message to Supervisor	A message is sent from the system to the supervisor if the record is in the Supervisor Queue in excess of a State-defined period of time.	W - Workflow or System Configuration Required	This is the reminder letter capability to send an email for records in a certain status.
AC178	Link Amendment to Original Record	Amendment records are linked to the original record. The order of the amendment is important to subsequent processing of a record. Order is determined by the date that the amendment was accepted/completed.	E - Exact Match	
AC179	Lock Record	The system allows an authorized user to lock any given record from being amended.	W - Workflow or System Configuration Required	A flag is needed for this restriction.
AC180	Unlock Record	The system allows an authorized user to unlock a locked record so that it may be amended.	W - Workflow or System Configuration Required	
AC181	Automatically Remove "Do Not Issue" Indicator	The "Do Not issue" indicator is automatically removed when the amendment is complete.	W - Workflow or System Configuration Required	There are a number of flags that will be updated at that time.
AC182	Internal Flag on Amended Record	Any change to a record sets the "amended" flag in the system.	E - Exact Match	
AC183	Update Statistical Flags	Flags are set in such a manner that Vital Statistics can identify amended data and re-extract the record.	E - Exact Match	
AC184	Old Record Includes Amendment Number	The system can identify which amendment request caused a system record to be amended and the data that was changed in the record based on that specific amendment request.	W - Workflow or System Configuration Required	
AC185	New Record Viewable	When the amendment has been fully processed, the new record is available to all authorized users.	E - Exact Match	
AC186	Future Searches	Unless a user has the proper authorities, all future searches return the corrected record.	E - Exact Match	
AC187	Amendment Review Business Function	The system may provide a business function that controls who can review and approve amendments.	E - Exact Match	
AC188	Mark Amendment "Approved" or "Rejected"	The system allows the State to mark the amendment as "approved" or "rejected."	E - Exact Match	
AC189	Void After Amendment	The system allows an authorized user to void an amended record.	W - Workflow or System Configuration Required	
Additional Rules for Administrative Corrections				
AC190	State Office Makes Correction	The system allows the State to make corrections from the applications received from a county.	E - Exact Match	
AC191	Clerk Can Change Data	An authorized user can change field values to correct obvious errors.	E - Exact Match	
AC192	Enter Documentation of Corrections	The system provides a mechanism for an authorized user to document the authorization for correcting administrative (obvious) errors.	W - Workflow or System Configuration Required	
AC193	No Limit on Obvious Errors	The system allows an authorized user to correct typos and obvious errors as many times as necessary without a court order.	W - Workflow or System Configuration Required	
Additional Rules for Death and Fetal Death Amendments				
AC194	Notify Funeral Establishment of Processed Correction	A funeral establishment is notified when a requested correction to demographic information on a record they own is amended.	W - Workflow or System Configuration Required	
AC195	Search on Name or Date	Death and pending COD records can be searched for by name or event date.	W - Workflow or System Configuration Required	
AC196	Amendment from Same Certifier	An amendment to a death record for medical information must come from the medical certifier or medical examiner that submitted the original medical information.	E - Exact Match	
AC197	Medical Director Views All	Medical directors may view all records within their facility.	E - Exact Match	
AC198	Medical Director Amends Medical Information	Medical directors may amend a record if the doctor is unavailable.	E - Exact Match	
AC199	Medical Examiner Amends Medical Information	Medical examiners may view a record and amend the medical information of any record they originally certified.	E - Exact Match	
AC200	Access from Pending Queue	Cases with pending COD can be accessed from a Pending Queue.	W - Workflow or System Configuration Required	
AC201	Medical Examiner "Pending" COD	Medical examiners may view their records with pending COD from a queue or a filter and select the record from the queue that is the subject of the amendment.	W - Workflow or System Configuration Required	
AC202	Medical Examiner Overrides Physician	Medical examiners can override the diagnosis of a physician.	E - Exact Match	

AC203	Medical Examiner Selects Action	When a medical examiner creates an amendment, s/he selects "Override a Cause of Death" to override previous certification.	W - Workflow or System Configuration Required	
AC204	Delete ICD-10 Codes	The COD ICD-10 codes are deleted if a death record's medical items are amended.	W - Workflow or System Configuration Required	
AC205	Death Fields	Any data field may be amended on death record except the registration date.	W - Workflow or System Configuration Required	
AC206	Fetal Death Fields	Any data field may be amended on the fetal death record except the registration date.	W - Workflow or System Configuration Required	
AC207	Update Specific Death Fields	For legacy records, SFN and file date may be updated by an authorized user.	W - Workflow or System Configuration Required	
AC208	Changes to Medical Information Resets Flag	Changes to death record medical data reported to NCHS set the flags in such a manner as to re-submit the record for NCHS coding of cause of death (SuperMICAR).	W - Workflow or System Configuration Required	
AC209	SuperMICAR Edits on Death Amendment	Changes made to the medical section of the death record cause the record to be edited against the Views II edits including the dictionary for spelling and terminology.	W - Workflow or System Configuration Required	
AC210	Reset Flags	In an amended COD (cause of death), reset flags to include in next SuperMICAR file.	E - Exact Match	
AC211	Pending Amendments Queue	The system provides work queues for medical examiners for pending amendments to any medical information (excluding pending COD) that have not yet been submitted to the State.	W - Workflow or System Configuration Required	
AC212	Allow Amendment at Facility for Pending COD	The system provides the ability for a user at a facility to create an electronic amendment changing the COD from pending to actual causes, certify the medical information, and submit the amendment.	W - Workflow or System Configuration Required	
AC213	Medical Information or COD Changes to Registered Record - System User	The system allows an authorized user to initiate changes to medical information or COD on a registered record.	W - Workflow or System Configuration Required	
AC214	Flag Records	Once an amendment for medical information or COD is started in the system it is flagged with a "do not issue" flag until such time that the amendment is complete.	E - Exact Match	
AC215	Remove from Pending COD Queue	Once an amendment for COD is submitted to the State, the record is removed from the Pending COD queue.	E - Exact Match	
AC216	Reviewed by State	Amendments to medical information or COD may be reviewed by the State for approval.	W - Workflow or System Configuration Required	
Additional Rules for Birth Amendments				
AC217	Birth Data Amendments	For a birth, any field can be amended with the exception of the record registration date.	E - Exact Match	
AC218	Update Legacy Birth Fields	For all legacy birth records, SFN and file date may be updated by an authorized user.	W - Workflow or System Configuration Required	
AC219	Documentation Needed for Amendment	The system provides the user with a State defined list of documentation options needed for a birth record change request.	W - Workflow or System Configuration Required	
AC220	Reason for Change	The system provides the user with a State defined list of reasons for a change request to a birth record.	W - Workflow or System Configuration Required	
AC221	Witness Protection Bypass Edits	The system allows a "witness protection" profile which allows a user to enter a record bypassing all edits (e.g. registration date). The entry of these records are role based.	W - Workflow or System Configuration Required	
AC222	Seal Witness Protection Record	The system seals the original record for a record marked with a "witness protection" profile.	W - Workflow or System Configuration Required	
AC223	Witness Protection Flag	The system will flag any record with a witness protection on it.	W - Workflow or System Configuration Required	
AC224	Unseal Witness Protection Record	The system allows authorized personnel to unseal a record marked as "witness protection."	W - Workflow or System Configuration Required	
AC225	No SSN Enumeration Request on Amendment	The system does not run the SSA enumeration request for a birth record that is created as a result of an amendment.	E - Exact Match	
AC226	Child Deceased Indicator	If an amendment is processed on a birth record on which there is a "deceased" indicator, the amendment is processed without resetting the "deceased" flag.	E - Exact Match	
AC227	No Changes After Paternity Without Court Order	The system does not allow a change to the father's information or the child's surname after a paternity has been filed on a record without a court order.	W - Workflow or System Configuration Required	
AC228	Electronic Court Orders	The system allows courts to submit court orders to the State electronically	E - Exact Match	This occurs outside of the VRS system.
AC229	Authorized Users Make Change	In the case of a legitimation, an authorized user may change a child's surname even after a paternity has been completed on a record.	W - Workflow or System Configuration Required	
AC230	Parental Rights Terminated Flag	The system allows a user to indicate and flag a record where the mother's and/or father's parental rights have been terminated.	W - Workflow or System Configuration Required	
AC231	Import from Law Enforcement	The system allows law enforcement to provide a report of parental abuse to the State for import into the EVRS.	W - Workflow or System Configuration Required	The format of this import would need to be known. This would be another event (abuse event).

AC232	Cross Reference Parent on Birth Certificate and Parental Abuse Report	The system will cross reference any parent listed on a birth certificate with the parental abuse report and flag that record for review by the State.	W - Workflow or System Configuration Required	
AC233	Parental History of Abuse Flag	The system allows a user to indicate and flag a record where the mother and/or father had parental rights terminated or a history of child abuse or fatality.	W - Workflow or System Configuration Required	Add fields for this requirement. Search previous birth records with that mother or father…and the Abuse event.
Additional Rules for Legitimations, Surrogacy and Adoptions Amendments				
AC234	Single Petitioner	When a final order of adoption is granted to only one petitioner, the second parent information may remain blank.	W - Workflow or System Configuration Required	
AC235	Same-Sex Adoption	The system allows same-sex parents on an adoption record and provides ability to include both names on birth certificate (for example, Father/Father, Mother/Mother).	E - Exact Match	
AC236	Move to Supervisor	The system allows a State user to transfer the adoption amendment to a supervisor.	W - Workflow or System Configuration Required	
AC237	Retain Original Mother's Statistical Information	In the case of surrogacy or other adoptions, the statistical information of the original mother is retained and available to Vital Statistics.	E - Exact Match	
Additional Rules for Paternity				
AC238	Paternity Rules Apply	Please see Paternity business rules for additional rules related to paternity.		
AC239	Rescission of Paternity	See Paternity rules for all rules related to rescission of paternity.		
AC240	Paternity Data Entry Screen	The system provides a screen for data entry unique to paternity.	W - Workflow or System Configuration Required	
AC241	Assign Paternity Amendment Code	The system assigns an amendment code to a paternity that is State defined. The code will reference the location where the paternity acknowledgement was obtained (for example hospital, state office, county office).	W - Workflow or System Configuration Required	
AC242	Scan Worksheets	Paternity worksheets must be scanned and attached to the record.	W - Workflow or System Configuration Required	
Additional Rules for Sealed Records				
	For amendment types that require the original record to be sealed, the system creates a new record with the same State File Number and ties it to the original record. For most users, only the new record is visible. Authorized users can view sealed records. Appropriate footnotes are created, if applicable.			
AC243	Print Plain Paper Copy	The system provides an authorized user the ability to print a plain paper copy.	E - Exact Match	
AC244	Retain SFN	When sealing records in the system, both the original record and the new record have the same State File Number.	E - Exact Match	
AC245	Subsequent Amendment with Images	If, subsequent to sealing a record with images a new amendment request is submitted which also has images, the new images are associated with the new amendment request and may be viewable without causing the sealed images to become viewable.	E - Exact Match	Perfect. Got to keep all of this separate and attached to the appropriate record for legal and ethical purposes.
AC246	Viewing of Sealed Records	Only authorized users can view the original sealed record.	E - Exact Match	
AC247	Sealed Message on Search	General users, when searching for a name related to a sealed record, receive a message that the record is sealed. No additional information is displayed.	N - Cannot Meet	The search for a sealed record results in NO RECORD FOUND in our system. Telling them it is sealed is an invasion of privacy for
AC248	Seal Original Image	If the record being sealed has images associated with it, the system seals the images as well.	W - Workflow or System Configuration Required	Sealing the record will prohibit the images from being seen. There is generally no need to seal the images because they can only be
AC249	Track Viewing	The system provides a tracking for sealed records that have been viewed including who, when, and how many times the record was viewed.	E - Exact Match	This is the basic audit and audit log for each record.
AC250	Link Records	For birth records, the system links old and new records by sequential or system number if the SFN and year of birth change.	W - Workflow or System Configuration Required	Normally they are linked.
AC251	No Access to Supporting Documents	Supporting documents are only visible in the system to authorized users.	W - Workflow or System Configuration Required	The images/documents have security on them so only people with that security can see them.
AC252	Seal for Legitimation by Subsequent Marriage	The system provides the ability for the user to seal a record if it is a legitimation by subsequent marriage.	W - Workflow or System Configuration Required	
AC253	Seal for Adoption	The system provides the ability for the user to seal a record if it is an adoption.	E - Exact Match	
AC254	Seal for Paternity	The system provides the ability for the user to seal a record if it is a court-ordered paternity.	E - Exact Match	
AC255	Seal for Foreign Birth	The system provides the ability for the user to seal documents for a Report of Foreign Birth.	E - Exact Match	
AC256	Open Sealed File Request	The system allows a user to enter a request to open a sealed file.	W - Workflow or System Configuration Required	
AC257	Override to Print	An authorized user may print an opened sealed record.	E - Exact Match	
Additional Rules for Reinstatements				

AC258	Can Reverse Amendment	If a request for reinstatement is processed, the amendment is reversed in the system so the record reflects the values that existed prior to the amendment.	E - Exact Match	We have a reverse operation.
AC259	Trade Sealed and Unsealed Record	If the original record was sealed, the original record becomes the current record and the second (newer) record is sealed.	W - Workflow or System Configuration Required	We can seal and unseal record by having the user do it or by the edits.
AC260	Keep Images Sealed	When a reinstatement is processed, any images associated with the original record and the new record in the system remain sealed.	W - Workflow or System Configuration Required	In this case sealing the images makes sense.
AC261	Authorized Users May Unseal	For a reinstatement, an authorized user may unseal images associated with the record in the system.	W - Workflow or System Configuration Required	It is tougher to unseal the images.
AC262	Unseal Legacy Certificate	When a reinstatement is processed on a legacy record, the images of the certificate from the original record in the system is also unsealed; however, the supporting documentation remains sealed.	W - Workflow or System Configuration Required	
Additional Rules for Footnotes				
AC263	Medical Footnote Queue	The system provides a queue for records with a medical footnote.	W - Workflow or System Configuration Required	
AC264	Review Medical Footnotes	The system requires that a user review the footnotes prior to printing footnotes on a certificate.	W - Workflow or System Configuration Required	
AC265	Medical Footnotes	The system prints footnotes for medical amendments in a State defined format. The format is an abbreviated version of the changes made such as "Cause of Death Amended" rather than listing out each individual change that was made. Medical footnotes also include the date amended.	W - Workflow or System Configuration Required	
AC266	Trigger Multiple Footnotes	Each time a record is amended, the user may choose the option to apply a footnote.	E - Exact Match	
AC267	Footnote Format	The format of the footnote is consistent across all event types and is defined by the State.	E - Exact Match	
AC268	Footnote Contents	The system prints a footnote that includes the amended item and the date amended. Any other information should not print on the certificate.	W - Workflow or System Configuration Required	
AC269	Stored Content	The system stores the item, date changed, old value and new value, system user who made the change, and any added notes for amendments made but does not print them in the footnotes.	E - Exact Match	
AC270	Ability to Modify Footnote	An authorized user has options to modify footnotes to make them fit within the designated space, including rewording or changing the size.	E - Exact Match	
AC271	Footnote Override	The footnote trigger may be overridden and refused by an authorized user.	E - Exact Match	
AC272	Print COD Amendments	The system allows authorized users to choose from a State defined list what is printed when medical information, including COD, is amended.	W - Workflow or System Configuration Required	
AC273	Edit Footnote	The system allows authorized users to edit the footnote for medical information, including COD.	W - Workflow or System Configuration Required	
AC274	Audit Trail	The system maintains an electronic audit trail, separate from amendment history, of each change and the person making the change.	W - Workflow or System Configuration Required	The change is documented in the Change Request amendment process but also in the Audit log where the individual field changes
AC275	Footnotes Printed on Certified Copies	All footnotes not specifically overridden and created at the time of the amendment are printed on certified copies.	W - Workflow or System Configuration Required	
AC276	No Footnote in Adoption	Footnotes are not printed on certified copies for adoption.	W - Workflow or System Configuration Required	
AC277	No Footnote on Paternity Actions	Footnotes are not printed on certified copies for any paternity actions.	W - Workflow or System Configuration Required	
AC278	Footnote Option	The system allows the footnote option to be turned off.	W - Workflow or System Configuration Required	
Additional Rules for Rejection and Correction Cycle for Amendments (Box 5)				
AC279	Input Information About Missing Documentation	If there is not sufficient documentation to process the amendment, the user may select from a display list the documents that are needed to process the request. .	W - Workflow or System Configuration Required	
AC280	Missing Documentation Letter	The system generates a rejection letter that states the documents needed to process the request.	W - Workflow or System Configuration Required	
AC281	Code Reason for Rejection	Amendment requests in "reject" status can be coded with a reason for rejection from a pre-defined list, which includes the option for "Other Reasons".	W - Workflow or System Configuration Required	
AC282	Allow Notes About Rejection	The user can enter notes to be included in the standard rejection letter to clarify the reason for rejection and the steps necessary to have the amendment approved. The notes options are cumulative.	W - Workflow or System Configuration Required	
AC283	"Other" Rejection Reason	If "Other Reasons" is selected for the "reject" status, the system requires the user to enter a description.	W - Workflow or System Configuration Required	

AC284	Allow Selection of Multiple Rejection Reasons	The user may select as many reasons as necessary for rejection of the proof supporting the amendment. Reasons may include legal impediment or missing documentation.	W - Workflow or System Configuration Required	Need a finite number of choices.
AC285	Comments on Rejection	Comments can be entered to provide information about amendment requests in "reject" status.	W - Workflow or System Configuration Required	
AC286	Court Order Required Letter	The system provides the ability to generate a letter directly to the requestor indicating no further modifications will be made to the delayed record without a court order.	W - Workflow or System Configuration Required	
AC287	Paternity Court Order Required Letter	The system provides the ability to generate a letter to the requestor indicating no further modifications will be made to the paternity record without a court order.	W - Workflow or System Configuration Required	
AC288	Second Request Letter	The system allows a user to produce the same letter multiple times for records in the Rejection Queue.	W - Workflow or System Configuration Required	
AC289	Include Amendment Request Tracking Number on System Generated Documentation	The amendment request tracking number prints in a numeric format on all documentation printed by the system.	W - Workflow or System Configuration Required	
AC290	Flag Request for Investigation	If the user believes that more information is required to process the amendment, the user flags the request (for example selecting a check box).	W - Workflow or System Configuration Required	
AC291	Potential Fraudulent Request	If the user believes the request is fraudulent, they are able to flag the record as such (for example, selecting a check box).	W - Workflow or System Configuration Required	
AC292	Move Records Flagged for Investigation to Pending Queue	Records that are flagged for investigation move to the Pending Queue.	W - Workflow or System Configuration Required	
AC293	Make Different	The system marks a record flagged for investigation in the Pending Queue in such a way that it stands out from other records in the Pending Queue.	W - Workflow or System Configuration Required	
AC294	Sort Pending Queue for Flagged Records	The system allows a user to sort the Pending Queue to include only records flagged for investigation.	E - Exact Match	
AC295	Court-Ordered Amendment Query	For a court-ordered amendment, if additional information is needed, a query letter is generated to the requestor who is the relation to the party (not the court) with the address information auto-populated.	W - Workflow or System Configuration Required	
AC296	Maintain Do Not Issue Flag	Records that are in the Pending Queue awaiting further information will maintain the "do not issue" flag.	E - Exact Match	
AC297	State Defined Tickler File	queued in a tickler file for the supervisor/manager to review and determine what action to take.	W - Workflow or System Configuration Required	Have to create a batch job to calculate the days and set a flag to move to another queue.
AC298	Close Abandoned Amendment Requests	If the State determines that an amendment request will not be completed, the request can be closed by the user.	W - Workflow or System Configuration Required	
AC299	Archive Closed Requests	The system allows a request that was closed to be archived.	N - Cannot Meet	We do not archive.
AC300	Archive After State Defined Period	The system archives a request after a State defined period of time.	N - Cannot Meet	We do not archive.
AC301	Can be Retrieved	The system allows a user to retrieve archived requests.	N - Cannot Meet	We do not archive.
AC302	Removal of Amendment Flag	If an amendment request is closed by a user for any reason, the amendment flag is removed from the associated record.	W - Workflow or System Configuration Required	
AC303	Forward to Supervisor	If a supervisor override is required, the request can be forwarded to the Supervisor Approval Required Queue.	W - Workflow or System Configuration Required	
AC304	Rejecting Request from System User	The rejection information is sent to a system user through the messaging system.	W - Workflow or System Configuration Required	
AC305	Reject queue for requestor	The rejected request from the system user is stored in a reject queue for the requestor.	W - Workflow or System Configuration Required	
AC306	Return Request	The system allows a user to reject an amendment request back to a requestor for correction/additional information.	W - Workflow or System Configuration Required	
AC307	Modify Amendment Request	The system allows a requestor to modify an amendment request that has been rejected back from the State.	W - Workflow or System Configuration Required	

Description: The system updates record and seals original record (image) if necessary (Box 12); Print vault copy (Box 13); Record Queued for Issuance at County or State (Box 14)
The system will updated the record and if necessary seal the original record. The record is automatically send to the issuance queue.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC308	Issuance	Please see the rules on the Issuance Requirements regarding printing of certificates.		
AC309	Sealing a Record	Please see the rules related to sealing record in the system.		
AC310	Issuance of Amended Records	Once the amendment or correction is complete, the system automatically sends the record to an Issuance Queue	E - Exact Match	

AC311	Print Corrected Certificate	The system allows a corrected certificate to be printed at the State office or at the county where the application was originally received.	E - Exact Match	
AC312	Print Vault Copy of Amended Records	The system will print a vault copy of corrected or amended records on white paper and include an indication that it is "not a legal copy".	W - Workflow or System Configuration Required	
AC313	Short Form Exception	The system will not print the short form unless actions are taken by an authorized State user. The fields to be printed on short form are State defined.	W - Workflow or System Configuration Required	
AC314	Removal Slips	The system allows a user to print a State defined removal slip containing, at minimum, the sequential or system number, the State File Number, the County File Number and date removed.	E - Exact Match	
AC315	Update Pending Request Queue	When an amendment is marked as complete, the system automatically updates the Pending Issuance Queue to indicate that the record may now be issued.	E - Exact Match	
AC316	Print "Amended" on Certificate	The system can print "Amended" on a certificate when any changes are made to a record with the exception of adoptions, administrative corrections, ~~and~~ birth records in short form, and paternity actions.	W - Workflow or System Configuration Required	
AC317	Override Printing "Amended"	A designated State user may override the system 's ability to print "Amended" on a certificate.	W - Workflow or System Configuration Required	
AC318	Link Certificate to Request	All certificates printed as a result of a request are linked to the request. This includes number of copies and document control numbers (DCN).	E - Exact Match	
AC319	Link Amendment Tracking Number to Certificate Record	To directly associate the request with the certificate, the amendment request tracking number is placed in the electronic record.	W - Workflow or System Configuration Required	
AC320	New Information in Body	The amended information appears in the body of the certified copy.	W - Workflow or System Configuration Required	

Description: If not an EVRS record, access stored images and index data (Box 7); Add or update record in EVRS (Box 8)

For legacy records that are not already in the system or contain partial data, the system will allow the user to access the image and either create or complete the electronic record. Once the record is complete and saved, the user may amend the record as described in box 9.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC321	Sequential State File Number	For legacy records which have no electronic record, the system searches for the last SFN assigned within the birth year and assigns to the record the number next in sequence.		
AC322	Update Legacy Record	The system allows the user to update or "back fill" missing data for a legacy record in order to create a complete electronic record. Missing fields may include amendment information, dates and footnotes.	E - Exact Match	
AC323	Create New Record	For legacy records which have no electronic record, the system allows the user to create a new electronic record.	E - Exact Match	
AC324	Side-by-Side View	The system allows the user to see the stored image at the same time as data entry screen.	E - Exact Match	
AC325	Relaxed Edits	For all newly updated or created legacy records, a State defined minimum data set fires edits that are distinct from the edits of a normal record.	E - Exact Match	
AC326	Access to Sealed Legacy Records	The access to sealed legacy records is available only to authorized users.	E - Exact Match	

Description: Enter changes, run edits and scan supporting documents (Box 9); OK? (Box 10); if not ok, review errors (Box 11) If ok, go to step 12

The State user will enter the changes to the record. The system will then run edit checks, and the supporting documentation is attached to the original record. If there are no errors to review, the system will update the record and seal the record if necessary.

Please note rules related to amending a record are listed above and not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
AC327	Queues Rules	Please see the General Requirements section N - Queues for rules of queues		
AC328	Edit Checks	Please see the General Requirements, section L - Data Editing, for edit check rules		
AC329	Scanning	Please see General Requirements, A - User Technical Environment, regarding rules related to scanning		
AC330	Void Record	Please see the General Requirements, section I - Voids and Abandonment of Records, for rules on voiding a record		
AC331	Amend Legacy Records	Once all information is entered into the system, the system allows user to amend the record.	E - Exact Match	

Additional Rules for foreign-born adoptions

A system user may begin a Certificate of Foreign Birth once a certificate of adoption, report of annulment of adoption, or amendment of an order of adoption for a person born in a foreign country is received from the court.

The user enters the information, scans, and attaches all supporting documentation. Foreign-born adoptions are sealed by the system once complete. Only the state issues a foreign record.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	**Comments**
AC332	**Certificate of Adoption for Foreign Birth**	The system provides data entry screens unique to the Certificate of Adoption for foreign birth.		
AC333	**Screen Matches Certificate of Adoption for Foreign Birth**	The foreign-born adoptions screen matches the layout of the Certificate of Adoption for foreign birth and is State defined.		
AC334	**Original Birth Screen**	The system provides a data entry screen for "original" birth information	E - Exact Match	
AC335	**ROA Birth Screen**	The system provides data entry screen for updated birth information listed on the ROA.	W - Workflow or System Configuration Required	
AC336	**Side-by-side View**	The system allows the user to view both the original birth screen and the ROA screen at the same time.	W - Workflow or System Configuration Required	Typically the birth record IS a foreign born record for its lifetime. It has all the ROA and original information in the birth record and
AC337	**Allow Unknown**	The system allows "unknown" to be entered in the ROA birth screen to accommodate limited information.	W - Workflow or System Configuration Required	
AC338	**Bypass Option**	The system allows the user to select a bypass option that will auto-populate "unknown" into all fields of the ROA birth screen.	W - Workflow or System Configuration Required	This would be an edit.
AC339	**Relaxed Edits**	The system allows the for relaxed edits in the foreign-born adoptions screen because of limited information.	W - Workflow or System Configuration Required	
AC340	**Foreign Birth at State Only**	The system only allows the State to access the foreign-born adoptions screens.	E - Exact Match	
AC341	**Country of Foreign Birth**	The system allows the country of birth to be other than "US" for reports of foreign birth.	W - Workflow or System Configuration Required	
AC342	**Create New Record**	Foreign-born adoptions create an "original" birth record.	W - Workflow or System Configuration Required	This foreign born record IS a birth record.
AC343	**Scan Supporting Documentation**	The system allows the user to scan and attach State defined supporting documentation to a foreign-born adoptions record.	E - Exact Match	
AC344	**No SSN Enumeration Request**	The system does not run the SSA enumeration request for a foreign-born record.	E - Exact Match	
AC345	**Scan Forms**	Form must be scanned and attached to the record.	W - Workflow or System Configuration Required	
AC346	**Seal File**	"Original" file must be sealed.	W - Workflow or System Configuration Required	An adoption can be done on the Foreign born record if needed.
AC347	**Send notice to the US Immigration and Naturalization Services.**	The system auto-generates a letter to the US Immigration and Naturalization Services for all adoptees born out of the country,	W - Workflow or System Configuration Required	Need address/email and information on this.

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

BUSINESS PROCESS: SECURED INVENTORY ORDER, DISTRIBUTION & RECONCILIATION

Security paper and other supplies (e.g. forms) are issued to specific printers within the State office and at each of the counties. To request resupply of items, the user logs into the system, selects the inventory menu option, and accesses the Inventory Request Form. The requestor completes the Inventory Request Form and electronically submits the request to the inventory control person(s) at the State.

The State logs into the system and selects the Inventory Request queue. The request is reviewed for reasonableness. If there are questions about the request, the inventory control person(s) will contact the requestor. If there are not any questions, the inventory control person(s) fills the order and allocates the inventory. Contact may happen through the system via messaging.

The requested inventory is shipped to the requestor. The requestor logs into the system and updates the order as received. The requestor assigns inventory to individual printers.

Inventory counts of security paper are updated automatically as supplies are used by the individual printers. Security paper inventory reports are printed on a periodic basis and inventory is reconciled by the State. Any discrepancies identified by a county are reported to the State and any necessary adjustments are entered into the system.

Description: User logs into EVRS (Box 1); Select inventory menu (Box 2); Access Inventory Request Form (Box 3); Complete Inventory Request Form (Box 4); Submit request to inventory control person(s) (Box 5)

To request resupply of items, the user logs into the system, selects the inventory menu option and accesses the Inventory Request Form. The requestor completes the Inventory Request Form and electronically submits the request to the State Inventory Manager. A message is sent to the State Inventory Manager notifying them that an inventory request has been submitted.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
INV1	Authorization for Ordering	The person at the county who orders the paper must be authorized to do so. This authorization is included in their user profile.	*E - Exact Match*	They must have the Order event capability.
INV2	Facility Authorization for Ordering	The person at a facility who orders forms and/or worksheets must be authorized to do so. This authorization is included in their user profile.	*E - Exact Match*	

INV3	Temporary Authorization	Authorization can be temporarily delegated to a different user for a State defined temporary amount of time.	*W - Workflow or System Configuration Required*	That function can be easily added to a user and taken away. Or that user can be given a completely different function group. The state
INV4	Auto-Populate Facility Information	The form auto-populates with facility information.	*W - Workflow or System Configuration Required*	Standard related fields depnding on the information needed.
INV5	List of Items	The system presents a State defined list of items available for order.	*E - Exact Match*	
INV6	Calculate Totals	The system calculates total quantity and amount due per item requested and displays the total to the user for confirmation.	*W - Workflow or System Configuration Required*	Easy to do, but currently our states do not charge for items. Therefore we have not configured that.
INV7	Transfer Between Counties	A user can request inventory to be transferred from one office to another.	*W - Workflow or System Configuration Required*	That would be a SHIP and RECEIVE set of transactions.
INV8	Central Store Items	Central Store items (e.g. forms) may be ordered and tracked through the inventory function.	*E - Exact Match*	
INV9	Location Code and Other Location Identifying Information	The order is associated with a location and other State defined information.	*E - Exact Match*	
INV10	Location Coordinated with Issuance Module	The location code used for inventory is tied to the location coding used in the Issuance Module to record usage.	*E - Exact Match*	
INV11	Location Codes with State Office	Specific location codes may be assigned to specific users or groups of users within the State office.	*W - Workflow or System Configuration Required*	Yes we have done this in other states.
INV12	Reasonable Quantity	The quantity **requested** will be edited against a high and low range value to test for reasonableness as defined by the State.	*E - Exact Match*	
INV13	Expedite	The requesting user can indicate that the order needs to be expedited.	*E - Exact Match*	
INV14	Notes	The requesting user can add a note to the order.	*E - Exact Match*	
INV15	Submit Button	The user checks the requests and, when it is complete, takes the option to submit the request to the State.	*E - Exact Match*	The various status entry indicates the workqueue and emails that are used and sent.
INV16	Inventory Request Queue	The submitted request goes to an Inventory Request Queue at the State.	*E - Exact Match*	
INV17	Send Message	A message is sent to the State Inventory Manager that a request is waiting for review.	*E - Exact Match*	The email can be automatic or manually sent.
INV18	Low Inventory Alert	A message is sent to the State Inventory Manager when the security paper falls below a State defined threshold.	*E - Exact Match*	This is a reminder letter that can be scheduled.

Description: Authorized user logs into EVRS (Box 6); Select Inventory Request Queue (Box 7); Review inventory usage (Box 8); OK? (Box 9); If no, Contact requestor (Box 10); Resolve or modify request (Box 11)

The State logs into the system and selects the Inventory Request queue. The request is reviewed for reasonableness. If not reasonable, the authorized user will contact the requestor to resolve to modify the request. If a payment is required for the requested supplies, the account is charged.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
INV19	Inventory Requests Queue	The State user can select the request from the Inventory Request Queue.	*E - Exact Match*	
INV20	Filter Queue	The State user can filter the Inventory Request Queue based on type of form requested (for example: certification paper, mother's worksheet, etc.)	*E - Exact Match*	
INV21	Search for Request	The State user can search for a request by date or the facility requesting.	*E - Exact Match*	
INV22	Decline Order	The system provides the ability for a designated State user to decline an order.	*E - Exact Match*	
INV23	Edit Request	The system allows a State user to edit a request and make changes such as reducing the number of forms requested.	*E - Exact Match*	
INV24	Enter Reason	If an order is declined, the State user selects a reason from a list.	*W - Workflow or System Configuration Required*	Currently they enter a comment but a drop down list selection item can be added.
INV25	Notes	The State can add notes to a request.	*E - Exact Match*	

INV26	Send Decline Message to Requestor	If an order is declined, the requestor is notified of the declination and the reason.	W - Workflow or System Configuration Required	
INV27	Charge Account	The system provides the ability for a designated user to charge accounts for ordered supplies.	W - Workflow or System Configuration Required	This currently has not been implemented in any state because nobody charges for items. Need to add a few fields to the order
INV28	Inventory Usage Reports	The State can print inventory usage reports by type and location from the system to support their analysis of inventory requirements.	W - Workflow or System Configuration Required	

Description: Fill order and allocate inventory (Box 12); Ship or distribute (Box 13)

For small quantities of security paper, the State may fill the request from their internal stock. In this case, a packing slip is printed from the system. The supplies and packing slip are shipped to the requestor. If the supplies are not fulfilled from the State's supply, an order is generated in the system to the vendor. The order is emailed to the vendor for fulfillment. The vendor produces a packing slip. The vendor ships the supplies and packing slip to the requestor.

Forms and worksheets ordered by a facility are fulfilled by the State.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
INV29	Paper Distributed by State	Security paper can be stored and distributed by the State for small orders.	E - Exact Match	Each county can have a STORE of security paper to distrubute to their employees.
INV30	Supply from State Stock	The authorized State user can indicate that the request was filled from the State supply.	W - Workflow or System Configuration Required	
INV31	Indicate Range	The system prompts for the range of numbers to be checked out to the requestor.	E - Exact Match	If the inventory type is identified by numbers, the numbers are required.
INV32	Individual or Range	A range can be only one number or a range of numbers.	W - Workflow or System Configuration Required	Normally it is a range of numbers in a box if there are numbers.
INV33	Sequential Numbers	Inventory number ranges are sequential.	E - Exact Match	
INV34	Assign Number Range	The system assigns the quantity specified and the number range from The Office of Vital Records to the specific requestor.	W - Workflow or System Configuration Required	The counties order and the state ships. Then the counties receive the order and enter the numbers. In the case of inside Assignments
INV35	Forms/Worksheets Distributed by State	Forms and/or worksheets for facilities can be stored and distributed by the State.	E - Exact Match	Inventory can be used for any items.
INV36	Track Forms/Worksheets Sent to Facilities	The system tracks the number of forms and/or worksheets sent to a facility.	W - Workflow or System Configuration Required	Yes the tracking could be by packs or numbers depending on the item.
INV37	No Control Numbers	Forms and/or worksheets for facilities do not have control numbers.	E - Exact Match	
INV38	Inventory of Printed Forms/Worksheets	The system tracks the inventory of printed forms and/or worksheets for facilities available at the State.	E - Exact Match	The inventory for those items is kept and counts calculated.
INV39	Alert	The system alerts the State user when the printed inventory of forms and/or worksheets at the State is below a State defined amount.	W - Workflow or System Configuration Required	We do this for Document control numbers. Should be easy to do for other inventory items also.
INV40	Low Paper Alert	The system alerts the State user when the printed inventory of forms and/or worksheets at the State is below a state defined amount.	W - Workflow or System Configuration Required	
INV41	State Packing Slip	For orders shipped from the State, the system prints a packing slip for each shipment specifying State defined items such as item(s), quantity, and number range(s) included in the shipment.	E - Exact Match	
INV42	Paper Distributed by Vendor	Security paper can be stored and distributed by the paper vendor.	W - Workflow or System Configuration Required	
INV43	Order Information	Orders generated for security paper contain the item, quantity ordered, shipping information, and any expedite messages or notes from the requestor that are appropriate for the vendor.	W - Workflow or System Configuration Required	
INV44	Vendor Fulfilled Order Information	The system provides fields for the vendor to enter the shipped order information. This information is State defined and includes items such as quantity shipped; range of security numbers shipped, and date shipped.	W - Workflow or System Configuration Required	The vendory can have a userid and use the system just like the central site could in distributing items.
INV45	Assign Order Number	Orders are assigned a unique sequential order number.	E - Exact Match	
INV46	Email Order	The system provides the ability to email generated orders to the vendor from within the system.	E - Exact Match	
INV47	Open Orders	The system provides the ability for the State to track and view orders that the vendor is in the process of filling for shipment to the State.	W - Workflow or System Configuration Required	

Description: Requestor receives request (Box 14); Update receipt in EVRS (Box 15); Requestor assigns inventory to specific printers (Box 16); Inventory updates as used by individual user (Issuance) (Box 17)

The requestor receives the shipment and verifies the order against the packing slip. After logging into the system, the requestor updates the order status and notes any discrepancies. The requestor enters what they have received into the system and confirms the accuracy of the information entered and submits it to the State.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
INV48	Retrieve Original Receipt from System	The requestor retrieves the original receipt in the system to check in the inventory.	*W - Workflow or System Configuration Required*	The requestor can print the receipt from the order page. It should have already been sent with the order.
INV49	Type Inventory Numbers	Numbered inventory can be checked in by entering a beginning and ending inventory number.	*E - Exact Match*	
INV50	Recognize Range of Numbers	The system recognizes that the range includes all the numbers in between and determines the quantity accordingly.	*E - Exact Match*	
INV51	Multiple Ranges	The system allows users to designate receipt of multiple ranges of security paper numbers to account for breaks in numbering.	*E - Exact Match*	
INV52	Enter Quantities	The requestor enters the total quantity received.	*E - Exact Match*	For each set of inventory paper, the recipient enters the start, end and total sheets they received.
INV53	Edit Quantity Received	The system edits the total quantity calculated from the range of numbers entered to the quantity entered by the user to make sure they are the same.	*E - Exact Match*	
INV54	Confirm Quantity Received	The system requires the requestor to confirm the number received to attest to the accuracy of the information entered.	*W - Workflow or System Configuration Required*	The act of receiving, typing in the numbers and saving the record should indicate they are attesting to it. But an additional flag can be
INV55	Shipment Not Received Alert	The system alerts the State if county does not mark shipment as received within a State defined period of time.	*W - Workflow or System Configuration Required*	This would be a reminder letter to the state.
INV56	Change Range of Numbers or Quantity	Authorized users can change either the range of numbers or the quantity and rerun the edit to determine if the two agree.	*E - Exact Match*	
INV57	Compare Receipt to Order Quantity	The quantity received is compared to the quantity ordered and a message is displayed if they do not match.	*E - Exact Match*	We display a message.
INV58	Record Discrepancy	If the user determines that the discrepancy is real, the order is updated to reflect the difference.	*W - Workflow or System Configuration Required*	The order can be changed if necessary to change the outcome.
INV59	Notify State of Discrepancies	The system alerts the State Inventory Manager of any discrepancies.	*E - Exact Match*	
INV60	Validate Numbers	The system checks to make sure numbers being received have not already been assigned or used by this facility or any other facility by checking both the inventory in stock and used inventory.	*E - Exact Match*	That edit is already present in the Inventory Transaction on the ending number for Receiving and restocking.
INV61	State Resolves Security Control Number Issues	The system sends a message to the State if the system detects problems with the security paper number that cannot be fixed at the county.	*W - Workflow or System Configuration Required*	The message is sent during the order completion process when the status of the order is change. Until then, the county can fix the
INV62	Update On-Hand Quantity	The inventory-on-hand figure is updated immediately upon the successful receipt of new inventory.	*E - Exact Match*	
INV63	Assign to Individual Users	The system allows an authorized user to assign inventory to individual orders	*E - Exact Match*	They can assign within that userlocation/county. The Assign is transated into a Receive transaction for the individual user.
INV64	Security Numbers Available for Issuance	Once the check-in process is complete, the security numbers are available for use for Issuance.	*W - Workflow or System Configuration Required*	As soon as they are received successfully with no errors, they are available to be used.
INV65	Sign In Security Paper to Printer	Authorized users will sign into the system at the beginning of each day and assign paper to each printer by entering the starting control number for each printer.	*W - Workflow or System Configuration Required*	If the paper was used in the printer yesterday, the user only has to put the paper back in the printer. The document sequence in the
INV66	Sign Out Security Paper to Printer	Authorized users will sign into the system at the end of each day and enter that security paper was removed from each printer by entering the ending control number for each printer.	*W - Workflow or System Configuration Required*	The user can just change a flag that says FORMS NOT AVAILABLE and therfore the printer will not try to USE the paper.
INV67	Sequential Numbers Out of Order	If the starting or ending control number is out of sequence, the system alerts the user.	*W - Workflow or System Configuration Required*	There are a number of edits on the Paper assignment to the printer event.
INV68	Supervisory Override	The system prevents printing when the control number is out of sequence until an override is provided by an authorized user.	*W - Workflow or System Configuration Required*	

Description: Print inventory report on periodic basis (Box 18); Reconcile inventory (Box 19); Communicate discrepancies (Box 20); Enter Adjustments into EVRS (Box 21)

A notification of any discrepancies is automatically sent to Vital Records. Any discrepancies are documented by the requestor. Inventory counts of security paper are updated as supplies are used. Security paper inventory reports are printed on a periodic basis and inventory is reconciled by the State. Any discrepancies identified by the State are reported to the counties. Any necessary adjustments are entered into the system.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*

INV69	Reports	Please see Reports - Appendix C for rules on reports.		
INV70	Auto Notification of Discrepancy	The State is automatically notified of any discrepancies in inventory received.	*E - Exact Match*	This happens as part of the order receive process when the status is changed to indicate the order has been completed and received.
INV71	County Notification of Discrepancy	The county is automatically notified of any discrepancies in inventory.	*E - Exact Match*	
INV72	Adjust Inventory	An authorized State user can make changes to the security paper numbers assigned to locations or issuance history in order to resolve inventory issues.	*W - Workflow or System Configuration Required*	The ability to update other people's inventory is possible.
INV73	Reason Code for Adjustment	All adjustments to inventory require entry of a reason code.	*W - Workflow or System Configuration Required*	We can add a reason code if needed.
INV74	Reason Adjustment Comment	All adjustments to inventory include the ability to add a comment.	*W - Workflow or System Configuration Required*	
INV75	Update Inventory Levels	The system automatically records usage by security paper number in the Issuance Module.	*E - Exact Match*	
INV76	Display Status of Security Paper	The system provides the ability for an authorized user to display the status of any controlled inventory number to determine whether it is in inventory or how it has been used.	*W - Workflow or System Configuration Required*	We have various search capabilities on the doc tracking and on the security paper inventory system.
INV77	Void Controlled Inventory	The system provides the ability to void a range of security paper numbers or a single security paper number when the paper has been damaged, lost or stolen before it was used. (Voids of used inventory occurs in the Issuance Module so that document history can be updated.)	*E - Exact Match*	It can be voided in the inventory system or in the paper assignment to the printer.
INV78	Voids Require Reason	A reason must accompany every void.	*E - Exact Match*	
INV79	Voids Cannot be Issued	Voiding a control number in Inventory prevents it from being assigned during Issuance.	*E - Exact Match*	
INV80	Accept Returned Inventory	The system has the ability for an authorized State user to accept returned secured inventory items from one location and assign them to another.	*W - Workflow or System Configuration Required*	Shipped from the one location, received in the second location. It can go through the state if needed for security purposes.
INV81	Display/Print Inventory Status	An authorized user can display/print a summary of the status of inventory showing usage and quantity that is on hand.	*W - Workflow or System Configuration Required*	
INV82	Compare the System to Physical Inventory	If, after comparing the physical inventory at a location to the system inventory status report and discrepancies exist, an authorized State user can adjust the system to make the electronic record match the physical inventory.	*W - Workflow or System Configuration Required*	The state can be allowed to change any inventory system wide.
INV83	Analyze Inventory Usage	The system provides the ability for a designated user to analyze inventory usage across facilities and regional offices.	*W - Workflow or System Configuration Required*	

BUSINESS PROCESS: ORDER NEW PAPER

A request is sent to the vendor for shipment of supplies.

The vendor prints a packing slip and ships it to the requestor with the items ordered. The requestor receives the shipment and verifies the order against the packing slip. After logging into the system, the requestor updates the inventory status and checks for any discrepancies. Any discrepancies are reconciled and the inventory status is updated.

Description: Vendor prints packing slip and ships item (Box1); State receives paper and verifies against packing slip (Box 2); Log into EVRS (Box 3); Update inventory status (Box 4)

The State Inventory Manager places an order for secured paper using the normal procurement processes. The system can produce statistics on usage by location to assist the state in deciding the correct quantity to order. Once the shipment has been received from the vendor and reconciled to the order, the user logs into the system and selects the option from the menu to update the inventory. S/he may select the type of inventory received and the display may prompt the user to enter the quantity and range of numbers for the item received. The inventory on hand in the system is increased and the individual numbers of the paper are logged as received.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
INV84	Same Rules	The rules for inventory apply to the State as well.		
INV85	Purchase Order	The system provides the ability to print a purchase order form.	*W - Workflow or System Configuration Required*	
INV86	Purchase Order State Defined	The purchase order will be state defined.	*E - Exact Match*	
INV87	Purchase Order Numbering	The purchase order form contains State defined numbering.	*E - Exact Match*	

INV88	Email Purchase Order	The system can email the purchase order form to the vendor.	*E - Exact Match*	
INV89	Augment PO Numbering	The purchase order numbering is augmented automatically with each new requisition.	*E - Exact Match*	
INV90	Print Purchase Order	The state can print the purchase order form from the system.	*E - Exact Match*	
INV91	Requisition Form	The system provides the ability to print a requisition form.	*E - Exact Match*	The user can print a requisition form once the state defines it.
INV92	Requisition Form State Defined	The requisition form is State defined.	*E - Exact Match*	
INV93	Requisition Form Numbering	The requisition form contains State defined numbering.	*E - Exact Match*	
INV94	Requisition Form Numbering	The requisition numbering is maintained in the system.	*E - Exact Match*	
INV95	Augment Requisition Numbering	The requisition numbering is augmented automatically with each new requisition.	*E - Exact Match*	
INV96	Email Requisition Form	The system can email the requisition form to the vendor.	*E - Exact Match*	
INV97	Print Requisition Form	The State can print the requisition form from the system.	*E - Exact Match*	
INV98	Link Order	The system can link the order, purchase number, receipt of order, and scanned documents.	*E - Exact Match*	The order is already linked to the shipment and receipt of the items. Any document can be scanned and attached to any event.
INV99	Order from Vendor	The system provides the ability for an authorized State user to generate an order that can be sent to the security paper vendor.	*W - Workflow or System Configuration Required*	
INV100	Location Code	Only a location designated as a main storeroom can be selected and is State defined.	*E - Exact Match*	
INV101	Range of Numbers	Numbered inventory may be checked in by entering a beginning and ending inventory number. The system may recognize that the range includes all the numbers in between and determine the quantity accordingly.	*E - Exact Match*	
INV102	Unique Document Control Number	The system checks to make sure numbers being received have not already been received by checking both the inventory in stock and used inventory.	*E - Exact Match*	

Description: Discrepancies? (Box 5); If yes, Reconcile (Box 6)

A notification of any discrepancies is automatically sent to the State Inventory Manager. Security paper inventory reports are printed on a periodic basis and reconciled to the physical inventory by location (main storeroom, issuing offices). Adjustments in the system are made as necessary to bring the system reports into alignment with the physical inventory.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
INV103	Auto-Notification of Discrepancy	The State is automatically notified of any discrepancies in inventory received.	*E - Exact Match*	When the order is marked COMPLETED or similar, the inventory is check and emails sent.
INV104	Adjust Inventory	An authorized State user can make changes to the security paper numbers assigned to locations or issuance history in order to resolve inventory issues.	*W - Workflow or System Configuration Required*	
INV105	Reason Code for Adjustment	All adjustments to inventory require entry of a reason code and include the ability to add a comment.	*W - Workflow or System Configuration Required*	
INV106	Display Status of Security Paper	The system provides the ability for an authorized user to display the status of any controlled inventory number to determine the status (used, void, available).	*E - Exact Match*	
INV107	Associated Receipt Number for Used Document Control Numbers	The system provides the ability for an authorized user to display the associated receipt number for numbers that have a status of "used" for any document control number .	*E - Exact Match*	
INV108	Display/Print Inventory Status	An authorized user can display/print a summary of the status of inventory showing usage and quantity that is on hand.	*E - Exact Match*	
INV109	Adjustment Comment	Adjustments made to reconcile the physical inventory require a comment.	*W - Workflow or System Configuration Required*	
INV110	Analyze Inventory Usage	The system provides the ability for a designated user to analyze inventory usage across locations.	*W - Workflow or System Configuration Required*	

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

BUSINESS PROCESS: ACCOUNTING

While there is no business process flow for performing accounting functions, there are capabilities that must be supported by the system to support the accounting functions at both the counties and the State.

The cash management functionality will be managed primarily through Issuance. The Finance Division will account for all cash and checks received for certified copies, and drawer balancing will occur through the Finance Division. The system handles the accounting functions for the State and county including receipting, drawer balancing, request tracking, etc. A file is extracted from EVRS with all financial information needed for the Finance Division. EVRS must encompass all accounting functionality. The system does provide the ability for users to enter the payment information so the data can be used for management reporting and request tracking. Additionally, reporting from the system allows the State to reconcile processed transactions with the payments received in the Finance Division. Billings to counties and other entities for certified copies, certain amendments, and security paper are supported by the system.

State and federal agencies who do business with the State on a regular basis may be billed on a periodic basis for services. The system keeps track of services provided. Periodically (generally monthly), the State prepares an invoice for services provided for each entity. The interdepartment transfers are processed through the Finance Division.

The system provides the ability for funeral home establishments to have accounts with the State. The State can decide whether or not to allow a funeral home establishment to have an account. If approved, the State is able to set up and manage the accounts for these funeral establishments. These accounts may be used to pay for certified copies.

BUSINESS PROCESS: DAILY ACCOUNTING

At the beginning of each day the State users will open their cash drawer and verify the cash available to them in their drawer. Throughout their day they will conduct daily business and collect money.

At the end of each day, the cash drawers are closed out and reconciled. The state user reviews the cash drawer summary report and compares it to the money in their drawer. If a discrepancy is found, the user will review the day's transactions, determine the differences and make the appropriate corrections. If no discrepancies are found, the user will print their final drawer balance report by event type and type of tender. The supervisor will then consolidate the drawers for deposit and verify the money. Once the money is verified, the individual drawers can be closed. The system will create an extract to be sent to the state finance along with a deposit slip.

The County may or may not choose to use this daily accounting functionality. The function will be made available to those counties wishing to receipt money through the EVRS. The same rules apply to the counties; fees and G/L accounts may be different.

Description: Supervisor assigns cash drawer and cash to employees in EVRS (Box 1); Open cash drawer and verify cash (Box 2)

The user logs on and verifies their drawer.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A1	User Log In	Please see the General Requirements section B -User Authentication for rules related to user log in.		
A2	User Profiles	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
A3	Record Ownership and Access	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
A4	Individual Drawers	Each user has their own 'drawer' and the 'drawer' is based on the employee's user ID.	*E - Exact match*	
A5	Starting Cash	Each location may have a different standard amount that is used at the beginning of the day to open the virtual drawer. The system must accommodate this.	*E - Exact match*	
A6	VitalChek Virtual Drawer	Transactions received through VitalChek are posted to a single cash drawer designated for VitalChek and kept separate from other receipts.	*E - Exact match*	
A7	State Portal Virtual Cash Drawer	All transactions received through the State Portal are posted to a single cash drawer designated for State internet transactions and kept separate from other receipts.	*W - Workflow or System Configuration Required*	There can be any number of cash drawers. One for the state portal can be available.
A8	Augment Cash in Drawer	Sometimes the office may need to augment the cash in the drawer during the day. This information will be entered as a separate transaction and will update the cash balance of the drawer.	*W - Workflow or System Configuration Required*	

Description: Conduct daily business and collect money (Box 3); End of day? (Box 4)

The user fulfills all the requirements for the transaction and collects the funds. The user collects and enters the total fees due for the request prior to releasing the requested items. Tables in the system are defined by transaction and how much money will be posted to each general ledger (G/L) account. Amounts received for each transaction and posted to each G/L will be recorded in the database. G/L coding at the counties may differ from the State G/L coding; the system accommodates these differences.

Some customers, such as funeral homes, may be set up to be invoiced for payment rather than paying cash for each request. The customer service clerk has a mechanism to indicate that a request may be billed later than at the time they are fulfilling the order. These payments are recorded in the system like any other transaction. Reports may be generated to show all open invoices. When payment is received, it is recorded in the system. Funeral homes may have the privilege of using the invoicing system revoked for bad checks or late payments.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A9	Reports	Please see Reports - Appendix C for rules on reports.		
A10	Exports and Imports	Please see General Requirements, section AA - Exports and Imports, for rules on imports and exports.		
A11	Multiple Codes at State Level	The system can accommodate both G/L and other state specific codes by transaction type.	*E - Exact match*	There are five slots for funds that are carried throughout the system and can be used in the reports for each service transaction.

A12	May Include One or Both Codes	The system does not require both a G/L code and Finance Division code on a transaction. The transaction may have one or both codes or the codes may be the same.	*E - Exact match*	
A13	Transaction Records Include User ID	Each transaction record contains the user ID used to collect funds for that transaction.	*W - Workflow or System Configuration Required*	The person entering the transaction and the person entering the payments can be different but both are captured.
A14	System Calculates Fees	The system calculates the fees for each transaction and totals all fees for multiple transactions in a single session for a single customer.	*E - Exact match*	
A15	Breakdown of Costs	The system maintains a breakdown of the cost of each item on the request when the fee is distributed to multiple G/L accounts.	*E - Exact match*	
A16	Transaction Fee Table Drives Posted to G/L	Information on the fee breakdown for each type of item sold along with the associated G/L account are maintained in a reference table.	*E - Exact match*	
A17	Combination of Payment Types to Complete Transaction Payment	The customer may pay by cash, check, or money order or a combination of all three to complete a transaction payment.	*E - Exact match*	
A18	Orders Taken Over Phone	The system must accommodate a State or local user taking an order over the phone and utilizing VitalChek to process the credit card.	*E - Exact match*	Vitalchek would be the payment type.
A19	Required Check Information	If the customer pays by check, the screen prompts the user to enter the check number.	*E - Exact match*	This is an edit on the payment type of Check and money order.
A20	Check Number	The system provides a field to capture the check number used to make the payment.	*E - Exact match*	
A21	Required Money Order Number	When the payment is in the form of a money order, the money order number is entered into the system.	*E - Exact match*	
A22	Billing Account	All billable accounts may pay the State using a billing account. The system provides the appropriate fields to record the billing account information.	*E - Exact match*	
A23	Fees Listed on Account	If an entity (e.g. other state/federal entity, funeral home) has an account set up with the State Vital Records Office, the fees for each transactions are listed against that account for invoicing later.	*E - Exact match*	
A24	Transmittal Sheet Information	Transmittal sheets are marked as "This is not a bill" by the system.	*E - Exact match*	
A25	Comments on Transmittal Sheet	The system provides a State defined table of comments for printing on the transmittal sheet.	*W - Workflow or System Configuration Required*	We have a comment field for that. But we could also have a dropdown too.
A26	County's G/L Coding	The system recognizes the G/L coding specific to the counties.	*E - Exact match*	
A27	Transaction Fee Table Drives Posted to G/L	A set of Transaction Fee Tables that list all transactions and the various G/L accounts to which funds are posted for that transaction.	*E - Exact match*	
A28	Payment Coded to Correct G/L	As payments are received, they are automatically coded to the proper G/L account based on the transactions processed and the appropriate Transaction Fee Table.	*W - Workflow or System Configuration Required*	Generally yes. But the payments are not tightly tied to the service transactions because of shortages and overages. The service
A29	Remittance of Invoices	The system allows a user to receipt money received for an invoice.	*E - Exact match*	
A30	Separation of Duties	The system provides a default that creates a separation of duties between the person receiving the money and the person completing the transaction.	*E - Exact match*	Different function groups for the duties.
A31	Turn On and Off Separation of Duties Default	Separation of duties default functions can be turned on and off by a role based user.	*W - Workflow or System Configuration Required*	The roles can be reassigned to a user very simply. Or combined for a county with no separation of duties.
A32	Override Separation of Duties Default	The system provides a seamless way of overriding the separation of duties default for small offices that may not have sufficient staff at all times.	*E - Exact match*	One combined role for all the duties necessary at a county.
A33	Track Use of Override	The system may track the use of the override of the separation of duties default by person and transaction.	*W - Workflow or System Configuration Required*	The data is available. A simple report can be created if specified.

A34	Payment Coded to Correct G/L	As payments are received, they are automatically coded to the proper G/L account based on the transactions processed and the appropriate Transaction Fee Table.	*W - Workflow or System Configuration Required*	Generally yes. But the payments are not tightly tied to the service transactions because of shortages and overages. The service
A35	Recognize Revenue (Invoices)	The system may account for requests that may be invoiced, in such a way as to separate it from forms of payment that are considered revenue since the revenue is recognized when the invoice is paid.	*W - Workflow or System Configuration Required*	This is dependent upon the state and the various reports to report on this revenue. The system has the data available.
Additional Rules for Other State/Federal Agencies				
A36	Other State/Federal Agencies Requests	The system invoices other state/federal agencies and all other billable accounts.	*E - Exact match*	
A37	Enter by System User	Requests by other state/federal agencies will be entered by a State system user. State/federal agencies will not have direct access to the system.	*E - Exact match*	The company/agency is a dropdown on the application. It will indicate who should be billed.
A38	Track Free Requests	The system keeps track of the number of free requests for state/federal agencies.	*E - Exact match*	The transactions have a Fee type of FREE that can be reported on.
A39	Run Report on Free Requests	A system user may run a reports of the number of free requests for state/federal agencies.	*E - Exact match*	The report can be run from the specifications of the state.
Additional Rules for Refunds				
A40	Refund Message	The system sends a message to the authorized user when it is determined that a refund needs to be processed.	*W - Workflow or System Configuration Required*	The end user marks the application/request as needing a refund. They can print or email a document to the fiscal user to process this
A41	Refund Amount	The system can determine the amount of the refund needed.	*W - Workflow or System Configuration Required*	Normally the user enters the amount of the refund, but the system could calculate it with the appropriate buisness rules detailed by the
A42	Debit Slip	The system creates a debit slip to send to finance to issue a refund. The debit slip is State defined.	*E - Exact match*	
A43	Send for Payment	The authorized user may update pending refunds to indicate that they have been sent to Finance. This will remove the refund from the pending queue.	*W - Workflow or System Configuration Required*	A number of ways have been implemented for different states and their required business rules. We have these in a Queue for easy
A44	Pending Refund Queue	The system should provide a queue for all refunds sent to Finance.	*E - Exact match*	
A45	Pending Refund Queue Total	The pending fund queue shows the total number that are pending.	*E - Exact match*	We have a count feature for workqueues that show the number of records in the workqueue. This feature is at the function group
A46	Pending Refund Queue Sent	The pending fund queue shows the total number that have been sent.	*W - Workflow or System Configuration Required*	A different queue name can show the number of refunds that are in process by the state finance dept. This is dependent upon the flags
A47	Reconcile Pending Queue	The pending refund queue is reconcilable with mail sent and received.	*W - Workflow or System Configuration Required*	
A48	Credit Card Refunds	Refunds for requests paid by credit card through the system may be refunded the same day of processing.	*W - Workflow or System Configuration Required*	Netsmart is not responsible for the actual REFUND back to the credit card. We only record what the operator decides to do and
A49	Same Day Refunds	Refunds in cash or check that are identified in the same day as the money was originally taken can be refunded through the drawer as defined by jurisdictional rules. A check payment would be refunded with the original check the customer used to pay for the transaction but cash cannot be given in place of the check.	*E - Exact match*	Standard Same Day refund mechanisms built into the system.
A50	Refund on Account	Refunds provided to a billable account may be listed separately and may not be counted as drawer funds since they do not figure into the balancing of funds in the drawer at the end of the day. The transaction must have a receipt number, fund, program account, control number, person paying, person's address; decedent name, DOD, and WV state file number.	*W - Workflow or System Configuration Required*	
A51	Refund on Over Payments	System allows refunds for any amount paid that is over the amount due.	*W - Workflow or System Configuration Required*	This is dependent upon the state rules and edits that are created.
A52	Refund On/Off Option	System allows the refund option to be turned off for locations that do not allow refunds.	*W - Workflow or System Configuration Required*	This can be tied to the userlocation table. A flag determines whether the refund fields are protected or useable.
A53	Overage Where No Refund Allowed	The system allows the user to designate by location how to apply any overages from a fund and G/L perspective.	*E - Exact match*	The OVERAGES is a service and the services have GL account funds described in them.

A54	Partial Refund	The system allows for partial refunds.	*E - Exact match*	
A55	Accounting of Refunds	All refunds, full or partial, are applied to the appropriate fund and G/L account per location from which the refund has been processed.	*W - Workflow or System Configuration Required*	

Description: Review cash drawer summary against money in drawer (Box 5)

The user places the cash and/or checks in the cash drawer. Credit card receipts from transactions completed through the system are also included in the cash drawer. At the end of the day, the customer service clerk balances the amount of cash, checks, and credit card receipts in the drawer to the amount recorded by the system. The system includes functions to display transactions for the day to locate errors causing the report and the drawer to differ. Corrections can be made to the clerk's transactions as needed to resolve differences. After balancing, if the report shows an overage, the amount is recorded and added to the deposit. If there is an overage, it is applied as designated by the location. Shortages are not resolved through petty cash; a justification must be written and sent to Finance.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A56	Capture ID of Person Closing Drawer	The system saves the user ID of the person performing the drawer closing activities.	*E - Exact match*	
A57	Display List of Checks, Credit Card Receipts, and Amount of Cash Expected	The system displays a list of all checks, money orders, and credit card receipts, and the total amount of cash that should be in the cash drawer at the end of the day.	*E - Exact match*	
A58	Allow User to Run Totals at Any Time During Day	The user may request the system to display current totals at any time during the day.	*E - Exact match*	
A59	Drawer Closed by Any Authorized User	Cash drawers may be closed by any authorized user regardless of whether or not they worked with that drawer during the day.	*E - Exact match*	Depending on security settings.
A60	Customer Accounts	Transactions charged against billable accounts are listed separately as a group and are not counted as drawer funds since they do not figure into the balancing of funds in the drawer at the end of the day.	*W - Workflow or System Configuration Required*	You can have a drawer to record the payment from the invoice. It will create payment entries that can be on a cash drawer and add up to the total amount paid.
A61	Payment Received on Customer Accounts	When a payment for a customer account is received, the money and the transactions are included in the daily drawer balance.	*E - Exact match*	
A62	Customer Account Details on Daily Close	Reconciliation of customer account payments as a daily drawer function are by invoice number and transactions on the invoice paid.	*W - Workflow or System Configuration Required*	
A63	VitalChek	Transactions processed through VitalChek download into the system automatically.	*E - Exact match*	
A64	VitalChek Listed Separately	Transactions from VitalChek may be listed separately by event and are counted as drawer funds if a physical check is printed from VitalChek at the Vital Records office.	*E - Exact match*	Payments are already in the system from the VC load. They might be 200 individual check transactions adding up to 1000 dollars.
A65	VitalChek Included in Deposit	Transactions entered from VitalChek are included on the deposit slip if there is a physical check that is included in the daily balancing of funds.	*E - Exact match*	
A66	VitalChek Deposit to State's Account	Money received through VitalChek may be deposited directly into the State's account. A deposit slip is not needed.	*E - Exact match*	This deposit directly into State's account is outside of the VRS system and is a business task.
A67	Reconcile VitalChek	The total transaction amounts received from VitalChek are balanced against monies received from VitalChek.	*E - Exact match*	
A68	VitalChek Report	The system allows a user to run a report on a state defined timeframe to reconcile the money received from VitalChek that has been directly deposited in the State's account.	*W - Workflow or System Configuration Required*	The vrs system has no knowledge of the Money directly deposited in the state account. If we have knowledge, we can run a report.
A69	Credit Card Payments	Credit card transactions through the EVRS are processed through Finance Division through State Treasurer's Office at the State.	*M - Modify*	
A70	Credit card merchant integration	The system integrates with the State's credit card merchant, providing charge transaction capabilities and transaction information to EVRS.	*M - Modify*	
A71	Credit card receipt	The system provides the ability to print a receipt from the credit card charge for the customer to sign.	*M - Modify*	

A72	**Print Credit Card Receipt**	The user allows the user to print a credit card receipt.	***M - Modify***	
A73	**Record Payment of Invoice**	If a payment for an invoice is received, the revenue for all requests included on that invoice are recognized as revenue in the appropriate categories and are included in the deposit form at the end of the day.	***E - Exact match***	
A74	**Mark Requests Paid When Invoice Paid**	When the payment for an invoice is entered, the requests included on the invoice are marked "Paid."	***E - Exact match***	A payment record is actually created for each application.
A75	**Print Multiple Times**	Balancing reports can be displayed or printed multiple times.	***E - Exact match***	
A76	**Over/Short**	The drawer may be closed even if the money does not balance due to an over/short situation.	***E - Exact match***	
A77	**Overages**	Overages are reflected on the daily report and applied to the appropriate account.	***W - Workflow or System Configuration Required***	Normally overages are handled at the service level for the applications. If they do happen later, the cash drawer has a
A78	**Pending Request**	Funds associated with a pending request are not refunded unless a written request is received by Finance. These transactions are handled outside of the EVRS.	***E - Exact match***	
A79	**Shortages**	Shortages are not made up out of petty cash and are handled by Finance.	***E - Exact match***	
A80	**Comment Box for Justification on Shortage**	A shortage opens a comment box for the user to enter a justification for Finance on shortages.	***W - Workflow or System Configuration Required***	A comment box can be opened.
A81	**Comment Box for Justification on Overage**	An overage opens a comment box for the user to enter a justification for Finance on overages.	***W - Workflow or System Configuration Required***	A comment box can be opened.
A82	**Daily Closing Reports**	The data included in the daily closing reports is State defined and configurable.	***E - Exact match***	
A83	**Deposit Slip**	The data included in the deposit slip is State defined and configurable.	***E - Exact match***	

Description: OK? (Box 6); If no, review transactions, determine differences, and make corrections (Box 7)

At the end of the day, the user balances the amount of cash, checks, money orders, and credit card receipts in the drawer to the amount recorded by the system. Errors may be corrected in the system with supervisory approval.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A84	**System Accounts for Opening Balance and Drawer Adjustments**	The system accounts for the amount of cash in the drawer at opening, and for any additional money added to augment the drawer balance, when computing the expected amount of cash.	***W - Workflow or System Configuration Required***	
A85	**System Programming Errors**	If errors are caused by flaws in the system, there is a mechanism to correct the errors, record an audit trail of the changes, and create an error report and fix request for the programming staff.	***W - Workflow or System Configuration Required***	All of these steps are in place at Netsmart.
A86	**Finding Errors**	If the figures do not balance, the system allows a user to scroll through the day's transactions by State defined rules such as user, chronological order and/or by payment type to determine what the problem is.	***E - Exact match***	There are numerous ways to see the transactions.
A87	**Correcting Operational Errors**	If there are errors created through normal business functions, the system allows for their correction with a trail of the changes and a reason code for the change along with a comment.	***W - Workflow or System Configuration Required***	Any extra reason codes can be added for changes.
A88	**Print Report of Transactions**	The employee may also have the option to print a report of the day's transactions for that drawer to assist in determining where the error(s) occurred.	***E - Exact match***	Cash drawer document.

A89	Display Day's Transactions and Payment by Type	The system displays a summary total of the day's transactions and the total amount collected in cash, credit, money orders, and checks. The program subtracts out the starting balance and any cash used to augment the drawer to arrive at the amount of money from sales that should be in the drawer.	*E - Exact match*	Standard Cash drawer system operation.
A90	ID on Corrections	All corrections must contain the employee ID number of the person making the correction.	*W - Workflow or System Configuration Required*	
A91	Transaction Reports	Transaction reports are State defined and configurable.	*E - Exact match*	

Description: Each user prints final drawer balance report by type of tender and event (Box 8)

The customer service clerk prints the daily report for their drawer by tender and event type.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A92	Reports	Please see Reports - Appendix C for rules on reports.		
A93	Print Final Detailed Report of Transactions	The employee may print a final detailed report of the day's transactions for their drawer once the error(s) have been reviewed/corrected.	*E - Exact match*	
A94	Detailed Report Display Day's Transactions and Payment by Type	The system displays a detailed report total of the day's transactions and the total amount collected in cash, money orders, credit cards, and checks.	*E - Exact match*	
A95	Print Final Summary Report of Transactions	The employee may print a final summary report of the day's transactions for their drawer once the error(s) have been reviewed/corrected.	*E - Exact match*	
A96	Summary Report Display Day's Transactions and Payment by Type	The system displays a summary total of the day's transactions and the total amount collected in cash, money orders, credit cards, and checks.	*E - Exact match*	
A97	Final Summary Report	The final summary report is State defined and may include fund and G/L account information in addition to event and tender information.	*E - Exact match*	
A98	Detailed Report of Transactions	This report is State defined.	*E - Exact match*	

Description: Consolidate drawers for deposit and verify money (Box 9)

The office fiscal manager or other authorized user consolidates all funds from all drawers, runs the consolidation report and validates that the money is correct. Fund verification is done by an employee who has not worked with the individual drawers. S/he recounts the money to reconcile the total amount to the consolidation report. If errors are found, the drawer owner must reconcile the drawer. If they cannot figure out the discrepancies, s/he must get supervisor assistance for help with their drawer.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A99	Display Consolidated Funds Report	The user can display/print a report showing the consolidation of all money collected by payment type for all drawers for the office.	*W - Workflow or System Configuration Required*	
A100	Make Adjustments	The employee who recounts the money to determine that the total balances to the consolidated report needs the same functionality to be able to scroll through transactions by drawer, or print a report to spot problems and to enter corrections.	*W - Workflow or System Configuration Required*	
A101	Supervisor Assistance	For errors that the user cannot resolve, the system requires supervisor assistance with reconciliation.	*E - Exact match*	
A102	Capture Supervisor Information	The system captures State defined information for the supervisor assisting with reconciliation.	*E - Exact match*	
A103	Over/Short	The drawer may be closed even if the money does not balance due to an over/short situation. The program needs to allow for the over/short information to be entered and the proper updating of the G/L to occur.	*W - Workflow or System Configuration Required*	Have this option in the system but it is hidden for most states.
A104	Reports	The system allows the user to run reports by state defined fields including but not limited to: transaction type, amount, payment method, person completing the transaction.	*W - Workflow or System Configuration Required*	

Description: Close drawers once verified (Box 10)

Anytime the user closes his/her drawer the system reconciles the drawer. At the end of the day, when all drawers are closed, the system performs any processing required to balance accounts and print reports.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A105	Close Drawer	The system provides a way to indicate that the drawer has been reconciled and closed every time a user logs out during the day. No new transactions can be added while the user is logged out.	*E - Exact match*	The user can close the drawer and nothing can be added to it.
A106	Reopen Reconciled Drawer	The system allows a user to reopen a reconciled drawer in the same day to continue transactions within State defined time frame (ex: 8am-4pm Monday-Friday).	*W - Workflow or System Configuration Required*	Drawers can be opened and closed during the day. We can easily add a time frame if desired.
A107	Close Before End of Work Day	The system allows the closing time for drawers to occur at a user defined time during the day that may be different from "end of day".	*E - Exact match*	They can close and balance at any time.
A108	End of Day Reconciliation	The system provides a way to indicate that the drawer has been reconciled at the end of the business day so no new transactions can be added.	*E - Exact match*	Closing the drawer does this. Also there is a separate Balanced feature that another person can recheck the total amounts and
A109	Unclosed Drawers	The system provides a way to check to see that all drawers have been closed.	*E - Exact match*	Search can show this. Plus adding drawers to the deposit log shows this also.

Description: Print State finance forms and deposit slip (Box 11); Send forms to finance and money (Box 12)

Deposit reports are printed showing all funds collected, and all funds from each given location to be deposited for that day. All paperwork for the deposit, including the deposit slip, and any required associated reports are sent to the administrative/finance group for the location. These can be printed or sent via email.

The system produces consolidated summary reports showing all transactions processed for the entire system as well as a detailed report of transaction types by each location and a summary of G/L by location. Reports may be run for each jurisdiction or as a consolidated report for the State.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A110	Reports	Please see Reports - Appendix C for rules on reports.		
A111	Print Total Sales Report	The system will print a State defined report showing the total sales for the day by payment type. Report may include payment type for each transaction, appropriate budget number and G/L account number. Transactions paid by check include check number.	*E - Exact match*	
A112	Different G/L Accounts	The State and counties may use different G/L accounts and use a different percentage of money to allocate to those G/L accounts.	*E - Exact match*	
A113	Sort by Transaction Type	The system provides the ability to sort the total sales report by transaction type (check, cash, etc.) by user ID, and check amount (if applicable).	*W - Workflow or System Configuration Required*	Reports are sorted one way by design. Multiple fields and multiple breaks are possible but not changing the field to search on. A
A114	Print Deposit Slip	The system prints a deposit slip. The deposit slip contains only the items that are needed to support the bank deposit. Checks will be listed individually.	*E - Exact match*	This will be designed by the state to match their business rules and finance deposit formats.
A115	Deposit Slip Format	The system prints the deposit slip in a format approved by the bank.	*E - Exact match*	
A116	Deposit Slip Fields	The system prints State defined information on the deposit slip.	*E - Exact match*	
A117	Deposit Date Recorded in System	The system records the deposit date, amount, and deposit number.	*W - Workflow or System Configuration Required*	
A118	Query Capability	The system provides the ability to query the database by deposit number and by date.	*W - Workflow or System Configuration Required*	Deposit number can be added as a field and shown on the search screen to enter for selection.
A119	G/L Reports	The system allows an authorized user to print a G/L report for each office separately, and for all offices in consolidated format. Information on report is State defined and may include each unique service method for state and county offices, a consolidated report for the state, show the G/L accounts appropriate to the State office included in the report.	*E - Exact match*	

A120	Sales Report	The system allows an authorized user to print a sales report based on State defined time frames (ex: a day or a range of dates) that includes State defined fields such as overall or by office, type of service, counts for the number of items produced, and the fees collected.	*E - Exact match*	
Additional Rules for Summary Reports				
A121	Activity Summary Report	A summary report may detail all activities by G/L account for a State defined period.	*W - Workflow or System Configuration Required*	This depends on the GL format and mechanism the state uses.
A122	Summary Report	A summary report may detail the split of money between the State and county offices.	*W - Workflow or System Configuration Required*	
A123	Overages Report	The system will run a report at a user defined interval on all overages.	*W - Workflow or System Configuration Required*	
A124	Report of Transaction Types by County	The system creates a State defined report of transaction types by county office for a State defined period.	*E - Exact match*	
A125	Credit Card Sales Report	The system generates a report showing all credit card sales for a State defined period.	*W - Workflow or System Configuration Required*	This is dependent on us having an interface with the credit card processor for the state.
A126	Medical Examiner Fee Summary Daily	The system provides each county with a summary of coroner fees at the end of the day for the county.	*W - Workflow or System Configuration Required*	The coroner fees must be a specific fund in the service fee table.
A127	Medical Examiner Fee Summary Monthly	The system provides the county with a summary of coroner fees at the end of the month for the county.	*W - Workflow or System Configuration Required*	The coroner fees must be a specific fund in the service fee table.

END OF DAILY ACCOUNTING

BUSINESS PROCESS: GENERATE INVOICES

The State has clients (funeral homes, other agencies) that are invoiced on a monthly basis. At the beginning of each month, the State generates invoices through the system. The user logs into the system and accesses the invoice screens. The user may globally generate and review invoices for all clients with a balance due for a certain time frame or generate individual invoices for one client at a time. Invoices may be sent automatically through the system or printed and mailed to the customers. Past due reports are ran periodically. Past due notices are printed/generated along with a letter and mailed/emailed to the customer. Once the State receives the customers' payment, the user enters the payment and generates a receipt. The receipt is automatically sent to the user via email or printed and mailed.

Description: User sets up customer accounts (Box 1)

The system allows designated users the ability to establish accounts for entities that regularly do business with the State. Creating an account makes it easy to enter requestor information on a request, as contact information can be automatically populated from the information stored in the account record. Entities that have accounts may also be authorized to charge the fees for obtaining certified copies or other services that have fees. They will then receive an invoice produced by the system on a periodic basis and submit payments per the invoice. Transactions with associated fees include certified copies and certain types of amendments.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A128	User Log In	Please see the General Requirements section B -User Authentication for rules related to user log in.		
A129	User Profiles	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
A130	Record Ownership and Access	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
A131	Exports and Imports	Please see General Requirements, section AA - Exports and Imports, for rules on imports and exports.		
A132	Specific Exports and Imports	Please see General Requirements, section BB - Specific Exports and Imports, for rules on imports and exports.		
A133	Set Up Account	The system provides the capability to set up accounts against which charges can be made for customers that routinely order certified copies or other items.	*E - Exact match*	
A134	Account Information	The account information is State defined and includes, but is not limited to, information such as account name, physical address, billing address, phone number, contact person, contact information, and type of account.	*E - Exact match*	

A135	**Multiple Billing Locations for Corporate Accounts**	The system allows multiple billing addresses for corporate accounts.	***W - Workflow or System Configuration Required***	Additional billing addresses can be added.
A136	**Billing Address**	For billing purpose, all invoices are sent to the identified billing address.	***E - Exact match***	
A137	**Physical Address**	The system also captures the physical address for an account.	***W - Workflow or System Configuration Required***	Physical address can be added.
A138	**Account Status**	The account status code shows whether the account is in good standing. Status flags are State defined and may include: - Late payments - Bad check - Cash only - Good standing	***E - Exact match***	
A139	**Comment Drop Down**	Accounts that are marked with a status flag open a State defined drop down list of options for the user to select regarding the account's status. Options may include 30 Days Past Due, 90 Days Past Due, Cash Only, Delinquent Account and/or Account On Hold Until Payment Received.	***W - Workflow or System Configuration Required***	
A140	**Additional Comments**	The system allows a user to enter additional comments regarding an account's status in a text box if needed.	***W - Workflow or System Configuration Required***	
A141	**Date Status Flag Set**	The account automatically notes the date that the account was flagged as anything except in good standing. The system will interface with software that approves or denies checks.	***M - Modify***	
A142	**Manually Change Status**	The system allows an authorized user to change an account's status manually.	***E - Exact match***	
A143	**Date of Status Flag Removed**	The account automatically notes the date that flag is removed from an account.	***E - Exact match***	
A144	**Cash-Only Accounts**	If an account is placed on a cash-only basis, this system may flag the account accordingly. This system will not allow posting of checks against that account until this flag is cleared.	***E - Exact match***	
A145	**Cash Only**	For cash-only accounts, the payment options are State defined and may include payment only by cash, money order, cashier's check, and credit card.	***E - Exact match***	
A146	**Billable Account**	The system allows authorized users to designate the type of account being established as a billable account, where payment is made after the service is rendered from an invoice produced by the system.	***E - Exact match***	
A147	**Overages**	The system allows the user to enter a payment amount for more than the invoice amount.	***W - Workflow or System Configuration Required***	This is possible but not sure where the overage goes.
A148	**Partial Payments**	The system allows a user to apply partial payments to an account.	***E - Exact match***	
A149	**Account Information**	The system allows the authorized user to enter information about the account such as account name, address, phone number, contact name and account number.	***E - Exact match***	
A150	**Change Status of Account**	The system allows an authorized user to change the status code of an account.	***E - Exact match***	
A151	**Bad Checks**	Bad checks are recorded in the request records or the account records for entities that have an account.	***E - Exact match***	
A152	**Add or Remove Bad Check Flag**	The system allows an authorized user to activate and de-activate a bad check flag.	***E - Exact match***	
A153	**Import from Finance**	The system imports State defined bad check information for non-billable accounts from Finance on a State defined interval.	***W - Workflow or System Configuration Required***	Would need the format but they can find the customer who entered the bad check and update that application record.
A154	**Manually Add In Information**	The system allows a user to manually add in State defined bad check information received for non-billable accounts from Finance.	***E - Exact match***	

A155	Add Bad Check Flag	The system adds a bad check flag to accounts imported from Finance.	W - Workflow or System Configuration Required	
A156	Must Pay with Credit Card or Cash	Bad-check-flagged accounts must pay with a credit card or cash until the bad check flag is removed.	E - Exact match	
A157	Bad Check Queries	The system provides the ability to query for bad checks.	E - Exact match	Various search fields are used to find the bad check culprits.
A158	Alert Issuance	The system alerts Issuance when processing a request for an account with a bad check flag. Issuance can only accept State defined payment methods such as cash, money-order, cashier's check, or credit card.	E - Exact match	

Description: User logs into EVRS and accesses invoice screens (Box 2);

An authorized user logs onto the system and accesses the invoicing menu. S/he selects the customer account or group of accounts that s/he wishes to process. The system has the ability to generate the invoices in "preview" mode without changing the status of the records included in the report to "invoiced." Once the user has reviewed the invoices, the invoices can be re-run in "final" mode where the record status is changed to "invoiced" or equivalent. Invoices can be printed on demand or in batch by State defined identifiers. The user also has the option to either print to a printer or print to file so the invoice can be emailed. The system produces a cover letter and a detailed transaction report.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A159	User Log In	Please see the General Requirements section B -User Authentication for rules related to user log in.		
A160	User Profiles	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
A161	Record Ownership and Access	Please see the General Requirements, section D - Record Access/Ownership, for rules related to record ownership and access.		
A162	Letter Rules	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		
A163	Individual Processing	The user may produce an invoice for an individual account.	E - Exact match	
A164	Preference for Receiving Invoices	The system allows an authorized user to set a State defined preference for receiving invoices. Delivery methods may include email and postal mail.	E - Exact match	
A165	Batch Processing	The user may choose to produce invoices for all or a series of customer accounts through a batch process based on State defined options. State defined options may include email delivery, postal mail delivery, and/or customer type.	E - Exact match	
A166	Batch Processing Options	All customer accounts selected for processing are associated in a batch by State defined options (ex: delivery preference, type of account, status, and date.	E - Exact match	
A167	Display Previous Batches	Authorized users can enter a batch option and display all the invoices produced in a previous batch.	E - Exact match	
A168	System Totals Certificate Requests	The system totals the amount, including all unpaid balances, for all requests that have been processed since the last invoice for each account selected.	E - Exact match	
A169	Review Without Need to Print	The user may review an invoice without printing.	E - Exact match	
A170	Print Without Review	The user may print an invoice without reviewing the invoice first.	E - Exact match	
A171	Generating Report Without Creating Invoice	The user may generate an invoice preview or an invoice report to review prior to actually creating the invoice.	W - Workflow or System Configuration Required	The invoice document is created when the invoice is run. The invoice is not BILLED unless it is run in Prod/Run mode.
A172	Invoice Format	The invoice format is State defined. A one page itemized invoice prints for each customer account. Information may include past due balances, current amount due, due date, remittance information, and comments.	E - Exact match	
A173	Comments for Invoice Form	The system allows a user to enter comments to be included on an invoice form.	E - Exact match	

A174	Edit Invoice Form	The system allows a role defined user (such as a business process administrator) to configure and edit the invoice form.	*E - Exact match*	
A175	Itemized Invoice Report	An itemized list of requests included in the amount due is printed for each customer account to be sent with the summary invoice form.	*E - Exact match*	
A176	Record Status	When invoices are produced, all request transaction records included in the invoice are flagged and dated as "invoiced" so that they may be invoiced only one time and branded with the batch identifier and date invoiced.	*E - Exact match*	
A177	Past Due Notice	The system includes a "Past Due Notice" on an invoice.	*E - Exact match*	
A178	Undo Batch	An authorized user can undo a batch of invoices so that the invoice process can be repeated.	*E - Exact match*	
A179	Reprint	The system allows an authorized user to reprint an invoice at the request of the purchaser.	*E - Exact match*	
A180	System User Accounts	Users with the proper authorization may view the status of their account and the amount due at any time.	*E - Exact match*	Assigning a Funeral home or Agency the correct permissions, give them this ability.
A181	Read-Only View	Customers with the proper authorization may view their account status as read-only that includes State defined information.	*E - Exact match*	
A182	View Own Accounts Only	Customers with the proper authorization may only view the status of their own accounts.	*E - Exact match*	
A183	View Accounts at State	The State can search for an account and display the current status of charges related to any facility.	*E - Exact match*	
A184	Monthly Detailed Invoice	The system generates a detailed monthly invoice with State defined information detailing unpaid requests for an account.	*E - Exact match*	
A185	Batch Processing	The user may choose to process all or a group of customer accounts at one time.	*E - Exact match*	
A186	Enter Date	The user can enter a date that is used to cut off the invoices selected (such as the end of a month).	*W - Workflow or System Configuration Required*	The Beginning and ending date are currently mandatory for the invoice run.
A187	Beginning Date Field	The user can enter a beginning date that is used to cut off the invoices selected (such as the beginning of a month).	*W - Workflow or System Configuration Required*	
A188	Beginning and End Date Fields	The user can enter a beginning date and end date to view selected invoices for a given period of time.	*E - Exact match*	
A189	Include All Requests Since Last Invoice	The invoice for new charges includes all open requests up to the date entered.	*E - Exact match*	
A190	Reprint Previous Invoice by Request Only	The system allows a user to reprint an invoice only if requested by a customer.	*W - Workflow or System Configuration Required*	An invoice can be reprinted as a Duplicate invoice with a watermark anytime. Reprinting an invoice without the watermark must have
A191	No Date Entered	If no date is entered, all invoices that have been charged will be selected for the customer group selected.	*W - Workflow or System Configuration Required*	Currently the beginning and ending cycle dates are required.
A192	Itemize Requests	The system provides a detailed itemization of all requests and the services provided on each request that are included on the invoice as supporting documentation.	*E - Exact match*	
A193	Amendment Fees	The invoice includes a line item for amendment fees.	*E - Exact match*	Any services are included.
A194	Option to Print Notes on Invoice	The system allows the user to enter notes to be printed on the invoice.	*E - Exact match*	
A195	Preview Invoices Without Updating Records	The user may generate a report without marking the records as "invoiced."	*E - Exact match*	Preview mode produces the invoices but does not BILL them.
A196	Record Status	After invoice generation, all transaction records included in the invoice are flagged as "invoiced."	*W - Workflow or System Configuration Required*	Invoiced or Billed.

A197	Add Invoice Number and Date to Record	The records included in the invoice batch are updated with the invoice number and invoice date.	*E - Exact match*	
A198	Paid Status	An invoice status is changed to "paid" once the customer has paid the full amount they were invoiced.	*E - Exact match*	
A199	Reports by Account	In addition to invoices, the system includes detailed and summary reports by account for amounts due. (Specific reports are defined in Reports Matrix.)	*W - Workflow or System Configuration Required*	

Description: Select customer accounts with a balance to process (Box 3); EVRS calculates amount due and generates invoice/report (Box 4); Generate past due letters as needed (Box 5); Send invoice to customer via email or print (Box 6)

The user selects the customer accounts with a balance to process. The system calculates the amount due and generates an invoice. The system user can generate past due letters as needed. The user prints/mails or emails the invoice to the customer.

Please note, the rules detailed in "User logs into EVRS and accesses invoice screens (Box 2)" apply to this section and are not repeated here.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A200	Invoices	The rules for printing invoices to customers in Box 2 of this flow apply to this section.		
A201	Billing Address	For accounts with postal mail marked as their billing preference, all invoices are sent to the customer using the billing address submitted when an account is created.	*E - Exact match*	
A202	Billing Address for Multiple Locations	For accounts with multiple locations, the system allows invoices to be mailed/emailed to each individual location or the central locations with all accounts on one invoice.	*W - Workflow or System Configuration Required*	
A203	Email Invoices & Statements	For accounts with email marked as their billing preference, all invoices are sent to the customer using the email submitted when an account is created.	*W - Workflow or System Configuration Required*	
A204	Confirmation Email	The system will send a confirmation email once the email has been read.	*N- Cannot Meet*	
A205	Stakeholders View Outstanding Charges	Funeral homes can display a list of unpaid transactions, outstanding fees, and totals due since the last invoice was paid.	*W - Workflow or System Configuration Required*	With the correct security and roles assigned, they can display their current or past invoices.

Description: Customer remits payment (Box 7); User enters payment (Box 8)

The customer remits funds to the State. The State enters the payment against the invoice(s) included in the payment. A delinquent flag may be set if an account is past due. When the delinquent flag is set, charging is not allowed. Each invoice payment is added to the cash drawer for the user who processed it and is included in drawer reconciliation at the end of the day.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A206	Bulk Entry for Payments	The system allows a user to pull up a bulk entry screen to enter payment information for multiple customers at the same time. The information on the screen is State defined and must include, at a minimum, the invoice number, person or account number, and amount due.	*E - Exact match*	This is currently available for use.
A207	Enter Information on Bulk Entry Screen	The system allows a user to enter information regarding the payment received on the bulk entry screen for payments. The screen must include State defined payment information including payment method, check number (if applicable), date received, and amount paid.	*E - Exact match*	
A208	Save Bulk Entry Screen	The system allows a user to save the bulk entry screen for payments at any time and with fields left blank.	*E - Exact match*	
A209	Invoices Marked "Paid"	Each invoice may be marked "paid."	*E - Exact match*	
A210	Transactions Marked "Paid"	Payments are posted by invoice and transaction and are marked "paid" accordingly.	*E - Exact match*	
A211	Record Check Number	Check numbers may be recorded in the system as part of the payment information.	*E - Exact match*	
A212	Recognize Sale	From a sales perspective, the statistics of the number of certificates sold is reflected in the period when the payment is made.	*W - Workflow or System Configuration Required*	

A213	Recognize Revenue	From a G/L perspective, revenue is recognized when money is received for an invoiced account.	*W - Workflow or System Configuration Required*	
A214	Create G/L Accounts for Each Invoice	A report may print showing the payment amounts allocated by G/L accounts.	*W - Workflow or System Configuration Required*	
A215	Delinquent Report	The system displays/produces a report of all delinquent accounts.	*E - Exact match*	

Description: Generate receipt (Box 9); Send receipt to customer by email (Box 10)

The user prints a receipt for each account that has remitted a payment. The user prints/mails or emails the receipt to the customer.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A216	**Receipting Rules**	Please see the Issuance business rules for all rules related to receipting within the system.		
A217	Generate Receipt	The system generates a receipt with the option to print or email the receipt to the customer.	*W - Workflow or System Configuration Required*	
A218	Email Receipt Automatically	The system allows a receipt to be emailed automatically to users with an e-mail address.	*W - Workflow or System Configuration Required*	Can only be sent to a single e-mail address.

Description: See Daily Accounting flow for cash drawer steps (Box 11)

Please note: The rules for daily accounting and the cash drawer steps described above apply here and are not repeated.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*Comments*
A219	**Cash Drawer Steps**	Please see the Daily Accounting (Box 1) above, for all rules related to daily accounting for cash drawers within the system.		

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E - Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M – Modify – Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F – Future – Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

BUSINESS PROCESS: QUERY AND REJECTION CYCLE

If the system user determines that s/he cannot fix the errors, the user can take one of two actions:

(1) Send a message to the original author asking for additional information.
(2) Reject the record back to the original author.

The record is flagged accordingly and placed in the appropriate pending queue. The EVRS system automatically notifies the record author that further information or a correction to the record is required, and that the record is in their pending queue.

BUSINESS PROCESS: QUERY CYCLE

Please note: All rules regarding messaging, rejecting records, editing of records and resubmitting of records described in the general requirements apply to this flow and have not been repeated in this section.

Description: State user sends message to original author (Box 1); Place record in follow up queue (Box 2)

When a State user finds an error that cannot be fixed at the State level, the user has the option of messaging the original author for clarifying information.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*State Comments*
RC1	**Query Message**	Please see General Requirements, section Q - Messaging through the System, regarding rules related to query messages for system users.		
RC2	**Letter Rules**	Please see the General Requirements, section X - Letters and Forms, for all rules related to creating letters within the system.		

Description: Original author logs in and reviews message (Box 3); Original author messages back an answer and the State user makes non-legal change (Box 4)

The original author logs into the system and reviews the message. The original author messages back the information requested and scans and attaches any necessary documentation. The State user may then fix the error, rejects the record, or decide not to change the record. The record moves from the queue once one of these actions are taken.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*State Comments*

RC3	User Log In	Please see the General Requirements section B -User Authentication for rules related to user log in.		
RC4	User Profiles	Please see the General Requirements section C -Roles, Profiles and Institutional Affiliations for rules related to user log in.		
RC5	Query Message	Please see General Requirements, section Q - Messaging through the System, regarding rules related to query messages for system users.		
RC6	Scanning	Please see General Requirements, section A - User Technical Environment, regarding rules related to scanning.		
RC7	Send Message to Record Owner	User can initiate a message to the facility who originated the record to ask for additional information on potential errors in the event type.	*E - Exact Match*	
RC8	Update Status to "Query Pending"	When a query is sent, the record is flagged and the status updated to "query pending."	*W - Workflow or System Configuration Required*	
RC9	Query Pending	The system provides a queue for records by event that have been queried.	*W - Workflow or System Configuration Required*	
RC10	Update Statistical Fields	Based on the information returned as a result of the query, the authorized user may update statistical fields.	*E - Exact Match*	
RC11	Retain Original Value	The original value is retained for auditing purposes only.	*W - Workflow or System Configuration Required*	
RC12	Directly Open Record	The in-system message contains a method to directly open the record under review so that the user does not have to search for the record.	*E - Exact Match*	
RC13	View at Same Time	The system allows a user to view the message and the record at the same time.	*E - Exact Match*	
RC14	Action Taken	The system allows the user to note the action taken by a system user. Actions may include change made, reject record, and change not made.	*W - Workflow or System Configuration Required*	
RC15	Query Filters	The system provides the ability to create an ad hoc QA queue by applying a filter made up of every field in the database to select records for QA review.	*W - Workflow or System Configuration Required*	A Query Flag can be added so when each state defined field is changed, the one Query Flag is set.
RC16	Remove Records	The user can flag and remove records from a query queue after they have been reviewed. For example, they have discussed the issue with the certifier and determined that they no longer need additional information.	*W - Workflow or System Configuration Required*	Sets the Query Flag to N.
RC17	Keep File of Query Letters Issued	The system attaches any query letters created to the record.	*E - Exact Match*	Kept in document tracking.
RC18	Record Receipt of Response to Query Letters	When a response is received for a query letter, the record is updated to indicate that a response has been received.	*W - Workflow or System Configuration Required*	If this is the messaging system, when the user reads the response message in the system, they set a HAVE READ flag and this can
RC19	Review Outstanding Query Letters	An authorized user can view all records with an outstating query letter for which a response has not been received.	*W - Workflow or System Configuration Required*	Workqueue for the RESPONSE RECEIVED flag (not received).
RC20	Generate Query Letter from Data Entry Screens	System allows State users to generate a query letter from data entry screens.	*E - Exact Match*	Query Letter in this context means a message. But a physical document/letter can be printed also.
RC21	Request a Change	Based on the information returned as a result of the query, the authorized user may reject the record and request a change or amendment to the record.	*E - Exact Match*	

BUSINESS PROCESS: REJECT RECORD PRIOR TO REGISTRATION

Please note: All rules regarding messaging, rejecting records, editing of records and resubmitting of records described in the general requirements apply to this flow and have not been repeated in this section.

Description: State user rejects record (Box 1); Record queued for original author (Box 2)

In some cases, a record cannot be corrected through the messaging system. In those cases, an authorized state user would reject the record back to the record's original author. The record is made available to the original author in a rejected queue.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*State Comments*

RC22	Drop Down List for Reason for Rejection	The reasons for rejection can be selected from a State defined drop down list of potential reasons for rejecting the record, such as "duplicate of registered record," "review failed," etc., so that the user may select from a set of standard reason codes.	*W - Workflow or System Configuration Required*	
RC23	Reason for Rejection Comments	The system provides the option for the user to enter an explanation for the rejection.	*W - Workflow or System Configuration Required*	
RC24	Information Needing Correction	The information needing completion/correction is noted on the record.	*W - Workflow or System Configuration Required*	
RC25	Queue Rejected Records for Original Author	Rejected records are queued for the appropriate original author of the record (i.e.: facility, funeral establishment or medical certifier) in their Rejected Queue.	*E - Exact Match*	
RC26	Send Automatic Notification to Record Originator(s)	The system sends automatic notification of the rejection to the record originator(s). If returned to the medical certifier, the funeral home is also notified.	*W - Workflow or System Configuration Required*	Creating a new message can identify multiple people from the event record to receive the message.
RC27	System Tracks Number of Times Record is Edited	For training purposes, the system tracks how many times a record is returned for correction.	*W - Workflow or System Configuration Required*	
RC28	Reports	The system allows role-defined users to run reports on records that are corrected. Information in the reports are State defined and may include record type and number of errors by facility.	*E - Exact Match*	Accomplished via state-defined report.
RC29	Reject Record	The system allows a system user to reject a record back to the original record owner for correction/additional information.	*E - Exact Match*	
RC30	Remove Electronic Signature	The system removes the electronic signature of the certifier on a registered record that has been rejected.	*W - Workflow or System Configuration Required*	
Additional Rules for Death				
RC31	Medical Information Section Rejected	If the medical information section is rejected but the personal information section passes the review, the system keeps the personal information section as "Signed."	*E - Exact Match*	
RC32	Personal Information Section Rejected	If the personal information section is rejected but the medical information section passes the review, the system keeps the medical information section as "Certified."	*E - Exact Match*	

Description: Original author accesses and reviews rejected record (Box 3); Original author fixes record (Box 4); Original author submits the record to State (Box 5); Record is reviewed (Box 6); OK? (Box 7); If OK, register record and assign SFN (Box 8); If not OK, the record is rejected.

The original author accesses the record and reviews the reasons for rejection. The original author corrects the record and submits the corrected record to the State.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*State Comments*
RC33	Record Ownership Reverts to Submitter	If the record is rejected back to the original owner, the record is queued accordingly and ownership of the record reverts back to the original owner. Owner example is a facility or funeral home.	*E - Exact Match*	
RC34	Rejection Queue for Requestor	The rejected request from the system user is stored in a Rejection Queue for the original record owner.	*W - Workflow or System Configuration Required*	Appropriate Queue created.
RC35	Display Reasons for Rejection	The system displays the reason the record was rejected.	*E - Exact Match*	Reason appears in event record.
RC36	Correct Rejected Record	The system allows an original record owner to modify the record that has been rejected and resubmit.	*E - Exact Match*	
RC37	Review for Exceptions	Once the original author resubmits a rejected record, the system automatically reviews the record for additional exceptions.	*E - Exact Match*	This is part of the save process for modifying a record.
RC38	Automatic Registration	If the resubmitted record contains no additional exceptions, the record is automatically registered.	*W - Workflow or System Configuration Required*	This depends on the states rules on who can register a record and when it is registered.
RC39	Rejected Record Exceptions	If the resubmitted record contains an additional exception, the system automatically queues the record into the appropriate Exception Queue.	*E - Exact Match*	
RC40	Review Changes	The system allows an authorized State user to review the changes made to a rejected record.	*E - Exact Match*	

RC41	Accept Changes	The system allows the State user to accept the changes made to the rejected record.	*W - Workflow or System Configuration Required*	This depends on the rules set up for who can accept changes.

BUSINESS PROCESS: QUERY RECORD POST-REGISTRATION

Please note: All rules regarding messaging, rejecting records, editing of records and resubmitting of records described in the general requirements apply to this flow and have not been repeated in this section.

If there is an exception on the record, the user will review the record. As needed, the system user may choose to query a record back to the original owner. In the case of querying the record, the record is flagged and queued for the appropriate record owner. A message is sent to the record owner indicating queried records are pending review. Rejected and queried records retain their original SFN. The file date and the electronic signature of the certifier are retained.

Description: State user queries a registered record (Box 1); Record queued for original author (Box 2); Author reviews record in read-only format (Box 3)

Once the state user determines a registered record needs to be rejected or queried back to the original user, the system will automatically queue the record in the original user's Rejection Queue.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*State Comments*
RC42	**See Rejection Rules**	All rules regarding rejecting a record listed in Reject Record Prior to Registration section apply here.		
RC43	**Do Not Issue Rules**	See the "Do Not Issue" rules in General Requirements.		
RC44	Post-Registration Rejection	The system allows an authorized user to reject a registered record.	*E - Exact Match*	
RC45	Post-Registration Rejection Queue	The system provides a queue for registered records that have been rejected by the State.	*W - Workflow or System Configuration Required*	Queue needed
RC46	Remove File Date	The system removes the file date on a registered record that has been rejected.	*W - Workflow or System Configuration Required*	
RC47	Retain SFN	The system keeps the SFN assigned to a registered record that has been rejected.	*E - Exact Match*	
RC48	Do Not Issue Rejected Record	The system automatically flags rejected record with a "do not issue" flag.	*E - Exact Match*	
RC49	Read-Only Format	The system allows the original author to review a rejected record in read-only format.	*E - Exact Match*	

Description: Correspondence messaging between the State and original author (Box 4); Amend Record? (Box 5); If no, State user makes a note validating the query (Box 6); State removes flag (Box 7); Original author re-signs record (Box 8)

The system allows staff users and original authors to correspond regarding the rejected or queried record. If, through correspondence, the State determines that no amendment is required, the State user makes a note validating the query, removes the rejection flag, and the original author re-signs the record.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*State Comments*
RC50	**Removal of Flags**	Please see General Requirements, section regarding rules about removing flags.		
RC51	Flag Removal Note	The State user must note that the rejection has been validated.	*W - Workflow or System Configuration Required*	
RC52	Re-Sign Record	Once the "do not issue" flag has been removed, the system allows the record to be re-signed by the original author.	*W - Workflow or System Configuration Required*	This requirement appears to conflict with RC49.
RC53	Removal of Rejection	Once the record has been resigned by the original author, the record is removed from the Rejection Queue.	*W - Workflow or System Configuration Required*	

Description: If Amend Record is yes, original author creates amendment (Box 9); Submits amendment to State (Box 10); Record queued for amendments (Box 11); Go to Amendment Flow

If, after corresponding with the original author, the State determines that an amendment is required, the system allows the original author to create an amendment and submit it to the State's Amendment Queue.

	Business Rule Name	*Business Rule Description*	*Vendor Response*	*State Comments*
RC54	**Amendment Rules**	See Amendments and Correction Requirements regarding a System User Requests a Correction to a Registered Record.		

RC55	**Amendment to Rejected Record**	The system allows the original user to create an amendment to a rejected record.	***W - Workflow or System Configuration Required***	This would be a Change Request event record to indicate the changes / amendment to the record.
RC56	**Submit Amendment to State**	The system allows the original user to submit an amendment on a rejected record to the State.	***E - Exact Match***	The Change Request recordd would be processed by the state to make the actual amendment.

[illegible]

Attachment D2_General System Specifications

A completed *Attachment D2_General System Specifications* spreadsheet follows this page.

From the dropdown list, please select one of the available condition codes **E - Exact, W - Workflow/System Config, M - Modify, F - Future, N - Cannot Meet** as described below for your answer to the following business rules.

Condition	Description
E – Exact Match	The COTS solution, as delivered at contract execution, fully satisfies the function as described in workflow and business rule **without any workflow configuration effort** (workflow configuration is as defined below and does not include changes such as updating screens to correspond with State-specific language). You must be able to demonstrate this functionality EXACTLY as defined.
W - Workflow or System Configuration Required	The COTS solution, as delivered at contract execution, contains the functionality as described in workflow and business rule but must be configured during the project.
M - Modify - Modification Required	The underlying code of the COTS solution must be modified at a cost to meet this functionality. Please do not comment. **DO NOT** include costs in Technical Response; if you do, your proposal will be disqualified.
F - Future - Planned for Future Release	The current version of the COTS solution cannot meet the functionality as stated, but functionality will be met by a planned future release of the system at no additional cost to WV. **Enter the anticipated date** of the release where the feature will be included in the date column.
N - Cannot Meet - Cannot Meet Requirement	The COTS solution proposed for WV will not satisfy the requirement.

Appendix A - System Specifications

Rule No.	Short Name	Description	Vendor Response	Comments
A - User Technical Environment				
A1	Any PC	A user may access a record for which s/he has authorization from any PC.	E - Exact match	
A2	Dual screens	State users can access multiple system functions simultaneously using dual screens.	E - Exact match	
A3	Mobile devices supported	The system supports the use of mobile devices (for example, for funeral home signing, medical certification or a nurse completing the mother's worksheet.)	W - Workflow or System Configuration Required	Yes. The screen GUI roles need to be defined for those particular fields needed.
A4	Mobile App	At a minimum, any mobile application "app" is supported on IOS, Windows mobile and Android.	E - Exact match	Yes; anything running HTML5 standard browsers.
A5	Mobile Browser Support	Web based mobile applications are mobile browser independent.	E - Exact match	Yes, as long as these are native browsers on that device.
A6	Mobile App Security	Mobile apps adhere to the same encryption standards as the "desktop" application.	E - Exact match	
A7	Mobile Device use on State Systems	Mobile or portable devices that are used on State automated systems or are capable of storing State-owned data, must comply with Agency mobile security standards/policies.	E - Exact match	
A8	Consistent across devices	The system will behave consistently across all platforms.	E - Exact match	
A9	Apps are optimized to the device	While maintaining consistency, the EVRS uses responsive design to ensure the application is optimized to the screen size and data entry capabilities of each device.	W - Workflow or System Configuration Required	This is always a work in progress for the different devices.
A10	Web solution	For ADA compliance, the system is browser-based and Internet capable and HTML code is validated to W3C HTML 5.0.	N- Cannot Meet	

Rule No.	Name	Description	Vendor Response	Comments
A11	Confidential data	The workstation computing platform does not store confidential data assets where it is not absolutely necessary to perform specific job related duties.	E - Exact match	
A12	Encrypted data	Confidential data assets which have been authorized to be stored on the local workstation are encrypted while stored on the workstation computing platform.	E - Exact match	
A13	Secure connection	The system supports HTTPS protocol.	E - Exact match	
A14	Linked files in system cache	If linked files are stored in system cache, system refreshes the cached versions whenever necessary to ensure data integrity.	E - Exact match	
A15	Duplex printing	The system supports duplex printing on specific forms.	E - Exact match	
A16	Desktop scanning	Desktop scanners are used by both state and external users.	E - Exact match	
A17	Mobile scanning	System supports mobile scanning and attachments of mobile scans. For example, but not limited to, a photo taken on a mobile device and the photo attached as the scanned documentation to the record.	F - Future	We anticipate this functionality being available in 2020.
A18	Scanners differ	Scanners installed at external user locations will vary.	E - Exact match	
A19	Duplex scanning	The system is capable of accepting duplex scans.	N- Cannot Meet	
A20	Attach supporting documents	The system has the ability to scan supporting documents and attach the scanned images to event records.	E - Exact match	
A21	USB available	External users may need to upload scanned images using various source media (flash drive, CD, another drive on a State server, a remote server).	E - Exact match	Images can be loaded from a file.
A22	Immediate linkage of scanned image	Scanned images will be directly linked to the correct record without first having to write the image to the hard drive and then navigate to it to accomplish the linkage.	E - Exact match	Display the event record and do actions...scan image and you can save the image if it is clear and it is automatically attached to that
A23	Page build time	The system displays a progress bar wherever the page build time is expected to exceed industry standard page build time for web applications.	N- Cannot Meet	
A24	Overall System Performance	The system provides a notification or alert of latency issues directed automatically to technical staff of problems with remote office system performance.	N- Cannot Meet	
B - User Authentication				
B1	State User authentication	State users are able to access the system through a single sign-on to the Web Application for authentication. The user may also access the Web Application through a shortcut placed on the desktop.	W - Workflow or System Configuration Required	Yes, but this shortcut can also be placed within the browser.
B2	Icon automatically placed	When a new state user is set up in EVRS, the system automatically places the shortcut on their desktop.	N- Cannot Meet	This would require manual intervention.
B3	Remote State User authentication	When State users are working remotely, they access the application through the Web Browser.	E - Exact match	
B4	Limit access by role	The system allows the State to limit access from outside the State firewall by user role.	F - Future	We anticipate this functionality being available in 2019.
B5	Restrict employee access	Some but not all State employees can be restricted from accessing EVRS from outside the State environment.	F - Future	We anticipate this functionality being available in 2019.
B6	Restrict access by time	Some but not all State employees can be restricted from accessing EVRS from outside the State environment during specific periods of time in the day.	F - Future	We anticipate this functionality being available in 2019.
B7	User ID format	The format of the user ID and password is State-defined.	E - Exact match	
B8	User authentication	Authentication to the system for both internal and external users is encrypted.	E - Exact match	
B9	Default password	A default password is set to a randomly generated password when a new user account is established.	W - Workflow or System Configuration Required	
B10	Password initial change	The system requires users to change their default password on the first logon.	E - Exact match	Yes, unless using LDAP.
B11	Password access restricted	A user's password is not available to anyone else including the State System Administrator.	E - Exact match	Inside the system they are one-way encrypted and hashed.
B12	Reset to default	The System Administrator can reset a password back to the default and force the user to establish a new password at first logon.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
B13	Passwords expire	User passwords expire on a State-defined schedule.	E - Exact match	They can expire in a set number of days.
B14	Change password at logon	The logon screen includes an option for the user to change their password.	E - Exact match	
B15	Notification of password expiration	The system notifies a user ahead of time that the password is expiring.	F - Future	We anticipate this functionality being available in 2019.
B16	Days to expiration	The number of days a user password is valid is State-defined.	E - Exact match	
B17	Days for notice	The number of days prior to a user's password expiration at which time an expiration notice is sent is State-defined.	F - Future	We anticipate this functionality being available in 2019.
B18	Prompt to update email/phone	The system directs the user to update their email and phone number whenever the password is changed.	F - Future	We anticipate this functionality being available in 2019.
B19	Option to reset password	At logon, the system includes an option for users to request a password reset if the user forgot their password.	E - Exact match	
B20	Self-service password reset	Passwords for users can be reset based on successfully answering their pre-set security questions.	F - Future	We anticipate this functionality being available in 2019.
B21	Security questions	Users can select their security questions from a list.	W - Workflow or System Configuration Required	The security questions can be preloaded into a list for the user to choose the ones they want to answer. Currently users create the
B22	Logon attempts limited	The number of times a user can attempt to logon before locking the account can be configured by the State.	E - Exact match	
B23	PIN	In addition to User ID and password, when signing or certifying a record prior to submission to the State an authorized user has a PIN that is entered at the time of signing/certifying.	E - Exact match	
B24	Set PIN at first logon	If a user is a signer/certifier based on the role/profile they have been given, the system will prompt them to enter their PIN at first logon.	F - Future	We anticipate this functionality being available in 2020.
B25	Change PIN	The system provides an option for a signer/certifier to change their PIN.	E - Exact match	
B26	Multiple system sessions	The system allows users to be signed into more than one device at a time.	E - Exact match	
B27	Session timeout	Session timeout is state-defined and configurable.	F - Future	We anticipate this functionality being available in 2020.
B28	Timeout warning	The EVRS provides a warning prior to session timeout.	N- Cannot Meet	
B29	Warning configurable	The time when the timeout warning message fires is configurable.	N- Cannot Meet	
B30	Save as draft	When a session is timed out, the EVRS saves a draft of any unfinished transactions.	E - Exact match	
B31	User Profiles	Once logged in, the user's access is controlled by the role/profile that was assigned to the user.	E - Exact match	
C -Roles, Profiles and Institutional Affiliations				
C1	Standard Roles	Standard roles can be defined specific to the State needs that control what functions a user assigned to that role can do.	E - Exact match	
C2	Standard Profiles control data access	Standard profiles can be defined that control the data fields that a user can view and act on.	E - Exact match	
C3	Standard Profiles control tab access	Standard profiles can be defined that control the tabs that a user can view and act on.	E - Exact match	
C4	Assign roles/profiles	Standard roles and profiles are assigned to users before they can access the system.	E - Exact match	
C5	Customize roles/profiles	Once a role/profile has been assigned to a user it can be customized for that individual user to add or delete privileges without affecting others who have been assigned the same role/profile.	N- Cannot Meet	
C6	Customized role removed	When a user with a customized role/profile is deactivated, the customized role/profile is no longer available, except to the State Application Administrator.	N- Cannot Meet	
C7	User account information	The information that is maintained for each user is State defined.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
C8	Trainee Status	When an account is established the user account information includes a flag to indicate trainee status.	E - Exact match	
C9	Trainee Flag Controls Queue	If the trainee flag is set to Yes, transactions completed by that individual may be queued for review.	W - Workflow or System Configuration Required	
C10	Trainee review conditioned on event	The state defines which events are subject to trainee review.	W - Workflow or System Configuration Required	
C11	Check user account on a periodic basis	The system forces users to check the information in their user account on a periodic basis to ensure that the information is kept up to date.	F - Future	We anticipate this functionality being available in 2020.
C12	Administrator roles	The system has the ability to establish multiple types of administrator role/profiles.	E - Exact match	Any number of roles can be created.
C13	Application administrator	An application administrator role/profile can be established to deal with setting up, deleting, updating and unlocking user accounts but not be able to change the way the system is configured.	E - Exact match	
C14	Configuration manager	A configuration manager role/profile can be established to deal with those aspects of configuring the system that are available to the State but not have access to user accounts.	E - Exact match	
C15	Institution application administrator	The system provides the State Application Administrator with the ability to designate an institution system administrator and at least one backup for each institution.	W - Workflow or System Configuration Required	This is done by giving a role to a user. The state needs to define which institutions are affected (funeral home, hospital, etc.).
C16	Restrictions on adding new role/profiles	Institution system administrators are restricted from adding new types of role/profiles.	E - Exact match	They can only assign users the roles they have access to and only to that location.
C17	Jurisdictions	The system can handle jurisdictions that are a county, a subset of a county or a combination of multiple counties.	W - Workflow or System Configuration Required	We currently handle most of these. This is a configuration issue with the tables involved.
C18	Jurisdiction controls access	The jurisdiction number controls records access for jurisdictions.	W - Workflow or System Configuration Required	
C19	Institutions tied to jurisdictions	The system has a method of linking institutions to the jurisdiction that will handle the records emanating from that location.	W - Workflow or System Configuration Required	
C20	Jurisdictional system administration	The State creates all new jurisdictional users but the jurisdiction has a institution system administration function for managing existing users.	W - Workflow or System Configuration Required	
C21	Force review of facility data	The system will periodically, on a timeframe configurable by the State, present a screen to the institution system administrator, forcing them to review and approve or update facility information for their facility.	F - Future	We anticipate this functionality being available in 2020.
C22	Deactivate old facility name	If the name of the institution is changed, the system automatically deactivates the old facility name and applies the new facility name to records going forward.	E - Exact match	
C23	Keep state facility code	The State Facility Code does not change when a facility name changes.	E - Exact match	
C24	Deactivate inactive users	Users who have been inactive for a State-defined period of time are automatically deactivated.	F - Future	We anticipate this functionality being available in 2020.
C25	Report on deactivated accounts	The State Application Administrator can run reports on deactivated user accounts	E - Exact match	
C26	Reactivate deactivated accounts	Only the State Application Administrator can reactivate a deactivated user account.	E - Exact match	There is a Central Lockout feature that the local adminstrators cannot unlock or reactive the user. Only the Central Administration person
C27	Unlocking passwords	Only the Application Administrator at the State or institution can unlock a user ID.	W - Workflow or System Configuration Required	Both the state administrator and local administrator can lock out a user. It can be configured to not allow the local administrator to lock
C28	State system administrator authority	The State Application Administrator has a higher authority than the institution system administrator.	E - Exact match	
C29	Institution System Administrator	The institution system administrator cannot override any action of the State Application Administrator including deactivating or changing privileges for specific users at the institution.	E - Exact match	
C30	Set up new users	All new users are set up at the State and assigned a role/profile.	E - Exact match	
C31	Signer/certifiers set up at State	Only the state can assign the signer/certifier role/profiles and the ability to view sealed records.	E - Exact match	
C32	Assign user profiles	The system allows the institution system administrator to update or deactivate individual user role/profiles only at their location.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
C33	Assigning profile bestows rights	When a State Application Administrator assigns a role/profile to a specific user, the user inherits the rights associated with the role/profile.	E - Exact match	
C34	Restrictions on assigning roles	An institution application administrator cannot assign the roles of system administrator or certifier. That is only done at the State.	E - Exact match	
C35	View information	The users' privileges for viewing specific data elements within the system are controlled at the field level by role/profile authorization.	E - Exact match	
C36	Authority is set at the field level	Access to write or change information is controlled at the field level through the user role/profile.	E - Exact match	
C37	Data edit overrides	Data edit overrides are authorized through profiles on a field by field basis.	E - Exact match	
C38	Hierarchy to override	The system provides the ability to define a hierarchy of who can override who for a given data field.	N- Cannot Meet	
C39	Report availability based on role	The system allows State to define which reports are available to users based on role/profile.	E - Exact match	
C40	Person works for an institution	All users are associated with a valid institution (for example, a specific hospital, funeral establishment, physician practice, State) even if the institution is a single person business entity (e.g. midwife).	E - Exact match	
C41	Tax ID captured	Every institution record contains a tax id number (FEIN or SSN) depending on the type of institution.	W - Workflow or System Configuration Required	
C42	NPI stored	Institution records contain the NPI number.	W - Workflow or System Configuration Required	
C43	Corporate identities	Establishments (such as funeral homes or hospitals) can be grouped together in corporations to centralize the processing of birth or death certificates.	W - Workflow or System Configuration Required	
C44	Corporate entry of death records	The system provides the ability, but does not require, grouping of corporate establishments to allow the data entry for multiple establishments to be done from a central location.	E - Exact match	
C45	Corporate signing	The system allows, but does not require, grouping corporate establishments together to allow for central signing of the records that are entered at multiple locations.	E - Exact match	
C46	Access only to own organization	Users gain access only to the data for the authorized institution or institutions with which they are associated.	E - Exact match	
C47	User associated to one institution	If the user is only affiliated with one institution the selection is automatic at logon.	E - Exact match	
C48	No need for separate account for second institution	Once a user account has been established and affiliated with one institution, they may be affiliated with additional institutions without needing to establish a separate user ID and password.	E - Exact match	The same user can have multiple profiles and be affiliated with many institutions, all with the same user ID and login.
C49	User associated with more than one institution	If the user is associated with more than one institution, the user is provided with a list from which to select the institution when they logon.	E - Exact match	
C50	Change locations without needing to logout	After a user who is affiliated with multiple institutions is signed on, the user has a quick way of changing to a new institution without signing out of system.	E - Exact match	A simple re-login is used.
C51	User Access	Once the user has been associated with the institution, the user's access to the data, as well as the privileges associated with the user (view-only, add, edit and delete) is determined by the role/profile that the user has in that institution.	E - Exact match	
C52	User and role/profile are associated with a timeframe	Assignment of a role/profile to an individual user include a date upon which the role becomes active and a date upon which the role becomes inactive.	F - Future	We anticipate this functionality being available in 2020.
C53	Role/Profile begin date	The date a role/profile associated with an individual becomes active can be auto populated with the current date.	W - Workflow or System Configuration Required	
C54	Role/Profile end date	The date a role/profile associated with an individual becomes inactive can be set in such a manner as to make the role perpetual.	E - Exact match	
C55	Check from and to dates	If from and to active dates are present for either standard role/profile or the role/profile and individual relationship, the system uses the date to determine if access should be granted.	E - Exact match	
C56	Menu displayed at logon	Upon logon, the menus displayed are based on the user role/profile associated with the selected institution.	E - Exact match	
C57	Change profiles when institution changes	Once the user changes to the new institution, their privileges change to reflect their role/profile in the new institution.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
C58	Emergency Mode	The system provides an emergency management option which allows for an easy way to activate a separate role/profile for designated users for use during times of emergency.	E - Exact match	We have an Emergency Mode flag at the system level. If this is on, then additional users and their profiles can now log on to access superhuman functions that they could not before. For example, a
C59	State controls emergency mode	The State has the sole authority to put the system into emergency mode.	E - Exact match	
C60	Maintain normal privileges	Users can also access their normal role/profile when in emergency mode.	E - Exact match	
C61	Return to normal profile	An option exists to deactivate but not delete a role/profile assigned to users for emergency use and return users to their normal role/profile.	E - Exact match	Turning off the emergency mode switch at the state level will return everything back to normal.
C62	Cross-functional authority	The system provides for the fact that some users have cross functional authorities (i.e., the same individual can be a coroner and physician certifier but not on the same record).	E - Exact match	
C63	Deactivation of a user associated with multiple institutions	If a user is associated with multiple institutions and only one institution is deactivated, only the user role/profile associated with the selected institution is deactivated.	E - Exact match	
C64	Deactivate an authorized institution	If the role/profile of an institution is deactivated, all the users at the institution are prevented from starting new records, but can finish existing records.	N- Cannot Meet	They will not be able to see those records at all.
C65	Name change different from deactivation	An institution name change can occur without deactivating the users associated with the institution.	E - Exact match	
C66	Deactivate user at all institutions	If a user is associated with multiple institutions, the Application Administrator has the option to deactivate the user at all the institutions without accessing every record for that user.	E - Exact match	An option exists on the user file maintenance to totally shut out that user and all of their profiles.
C67	Deactivated institutions	If a record is associated with a deactivated institution, the system displays the deactivated institution information with the record, along with an indicator to show the institution is inactive, so the user knows which institution processed the record at the time it was created even though the institution is no longer in business.	W - Workflow or System Configuration Required	We use the begin and end effective days so the institution shows on old records. There is not an indicator.
C68	History of log attempts	The system maintains a history of all logons for a State defined period of time.	E - Exact match	
C69	User accounts inactivation after inactivity	User accounts with no activity for a State defined period of time are automatically inactivated.	F - Future	We anticipate this functionality being available in 2019.
D - Record Access/Ownership				
D1	System of ownership	Access to records in the system database is controlled by a system of record "ownership."	E - Exact match	
D2	Ownership by role and institution	Ownership is determined by the combination of role/profile and institutional affiliation.	E - Exact match	
D3	Individual access	Individuals with the same role/profile and institutional affiliation can access the same records. For example, any birth clerk within the specified institution can access a record if owned by the role/profile of "birth clerk."	E - Exact match	
D4	Track activity by individual	Even though a record is owned by "role and institution," tracking of activity on the record is by individual.	E - Exact match	
D5	Deny access	If the user is determined not to have rights to the record, the system does not allow the user to access the record.	E - Exact match	
D6	Section owners	Different sections of a single record (certificate) may have different owners.	E - Exact match	An owner is determined by their GUI role. This role might protect some fields and open others.
D7	Only one owner of a section at a time	Each section of the record can only have one "role/profile" owner at a time. For example, if the owner of the demographic section of a death certificate is set to the funeral director(s) at xyz funeral home, anyone with the role/profile of funeral director at xyz, and only those individuals, can enter/modify data in demographic section as an external user.	E - Exact match	
D8	Simultaneous record access/edit	In the case where section owners in a record are different, both sections of the record may be accessed and edited at the same time.	E - Exact match	
D9	No editing ability once record submitted	Once submitted for registration, the ownership information for each section is maintained but the record is no longer editable by the owner.	E - Exact match	
D10	State access to records	Authorized state users can view and edit any record once it has been started even if it has not yet been completed and submitted for registration.	E - Exact match	
D11	Witness Protection entry	EVRS provides the ability to restrict entry of Witness Protection records by role/profile	W - Workflow or System Configuration Required	

Rule No.	Name	Description	Vendor Response	Comments
D12	Witness Protection access	Access to Witness Protection records is restricted by role/profile	W - Workflow or System Configuration Required	Witness protection records are sealed but there can also be a flag that will stop other people from seeing it.
D13	Witness Protection records not searchable	When non-authorized users search for a witness protection record, EVRS issues a message that record can only be accessed by an authorized user.	W - Workflow or System Configuration Required	The search would not return the witness protection record, it would return "NO RECORD FOUND." Showing it on a search results screen
D14	Search triggers message	When a non-authorized user enters the search criteria for a record noted as a witness protection record, EVRS immediately sends a message to supervisors that the search has taken place which includes the identity of the user doing the search.	N- Cannot Meet	Entering the search criteria and searching does not mean the witness protection record will be found. The user receives a message RECORD NOT FOUND, even if they hit it exactly. This protects the
D15	Leave witness protection	EVRS provides the ability to remove the witness protection designation and return the individual to their original identity.	E - Exact match	Yes, this is accomplished by rectivating the record and removing the flag.
D16	Jurisdiction access but not edit	Authorized jurisdiction users can view but not edit any record once it has been started even if it has not yet been completed and submitted for registration.	W - Workflow or System Configuration Required	This depends on the function and GUI group that user is a member of.
D17	Jurisdictional access	At implementation of the EVRS jurisdictional users can see all registered records except for sealed adoptions or other special seals, but are restricted to printing or issuing records only for their jurisdiction.	W - Workflow or System Configuration Required	This is standard practice with the printing document wizard criteria.
D18	Change jurisdictional access	The EVRS is state-configurable to remove the restriction on printing or issuing records for other jurisdictions at some future date.	E - Exact match	
D19	Jurisdiction corrections	Users in a jurisdiction, based on their role/profile, can view but not edit any registered record.	E - Exact match	
D20	Jurisdiction amendments	Users in a jurisdiction, based on their role/profile, can enter an amendment and submit it to the state for completion.	E - Exact match	
D21	Exceptions to jurisdictional access	In some temporary cases one jurisdiction will work on behalf of another jurisdiction and can issue records for the other jurisdiction during that time.	W - Workflow or System Configuration Required	
D22	Exceptions to jurisdictional access has time limit	Temporary access of one jurisdiction to issue records for another jurisdiction is controlled by dates in the system.	W - Workflow or System Configuration Required	This can be accomplished with configuration; further disucssion is needed.
D23	Time limit can be perpetual	The time limit for temporary access of one jurisdiction to issue records for another jurisdiction can be set so that it does not expire automatically.	W - Workflow or System Configuration Required	
D24	Send record back to owner	An authorized user may send the record back to an owner for correction. In this case, the process for returning the record reactivates the editing feature for the record owner.	W - Workflow or System Configuration Required	
D25	Begin death record	The system allows a death record to be started by funeral establishment personnel, hospital personnel, medical certifier personnel, doctor's office personnel, Coroner, or at the State based on role/profile.	E - Exact match	
D26	Begin birth record	The system allows a birth record to be started at a hospital, birthing institution, by a midwife or at the State based on role/profile.	E - Exact match	
D27	Begin fetal death record	The system allows a fetal death record to be started at a hospital, birthing institution, funeral home, coroner or at the State based on role/profile.	E - Exact match	
D28	Begin ITOP record	The system allows an ITR record to be started at a medical institution, or at the State based on role/profile.	E - Exact match	
D29	Delayed birth records at State	The system allows delayed birth records to be started only at the State based on role/profile.	E - Exact match	
D30	Presumptive death records at State	The system allows court-ordered death records to be started only at the State.	W - Workflow or System Configuration Required	
D31	Referral option	The system provides the option to refer a death record from a funeral director or medical certifier to a coroner and back.	E - Exact match	
D32	Referring changes ownership	The process of referring changes ownership of the record as it is being referred or returned.	W - Workflow or System Configuration Required	
D33	Message on Referral	Whenever a record is referred, the individual receiving the referral is messaged in the manner specified in their user account.	E - Exact match	
D34	Coroner access to records	Coroners can access records within their own jurisdiction.	E - Exact match	
D35	Temporary Coroner Access	The system includes a feature to allow coroners to temporarily access records in another jurisdiction when they are assigned to cover the work of a coroner in that jurisdiction.	W - Workflow or System Configuration Required	
D36	Time of temporary access controlled	An authorized user at the coroner's office can set parameters in the system to designate the period of time that a coroner from another jurisdiction has temporary access.	F - Future	We anticipate this functionality being available in 2021.

Rule No.	Name	Description	Vendor Response	Comments
D37	Designation location	The system provides an authorized user at the coroner's office to designate the jurisdiction that is receiving their caseload on a temporary basis.	E - Exact match	
D38	Coroner access to records	A Coroner has view-only access records when they are listed as the medical certifier for cases where the death occurs in one jurisdiction, but the accident leading to the death occurred in their jurisdiction. They are responsible for medical certification in these cases.	W - Workflow or System Configuration Required	
D39	Transfer a record	The owner of a section of a record can transfer their ownership of that section to another participant.	W - Workflow or System Configuration Required	
D40	Transfer-from/transfer to combinations	For a transfer to be processed, both the transfer-from user and transfer-to candidate are the same user type.	W - Workflow or System Configuration Required	
D41	Transfer of record between practitioners in a common institution	Transfers are not necessary between users with the same role within the same institution.	W - Workflow or System Configuration Required	
D42	Display list of transfer-to candidates	When a record owner selects the transfer function, the system displays a list of transfer-to candidates.	W - Workflow or System Configuration Required	
D43	State/jurisdictions can override ownership	To account for the possibility of ownership conflict, the State or jurisdiction's can also change the ownership of any record.	W - Workflow or System Configuration Required	
D44	Right to submit transferred records	In the case of a death record, the funeral establishment performing the transfer loses the ability to submit the death certificate for registration and the owner receiving the record acquires the ability and the obligation to submit the death certificate for registration.	W - Workflow or System Configuration Required	
D45	History of ownership	When a record is transferred the ownership fields in the record are updated but history maintains a record of all owners who were assigned to the record at any time.	W - Workflow or System Configuration Required	Yes, an audit log exists that tracks all changes to a record.
D46	Ability to relinquish ownership	Owners may relinquish their ownership of a record even if the new owner is not known.	W - Workflow or System Configuration Required	
D47	Relinquished record send notification	Relinquished records automatically send a notification to the source medical institution, funeral establishment and/or State as appropriate.	W - Workflow or System Configuration Required	
D48	Remove ownership information on relinquished records	All information in the record that is tied to the ownership of a record by the user who is relinquishing is removed when a record is relinquished.	W - Workflow or System Configuration Required	
D49	History of relinquished records	All information about ownership that has been relinquished is maintained in the history and tied to the record being relinquished.	W - Workflow or System Configuration Required	
D50	Relinquished records	Any information already entered in the personal information and medical information sections is not removed when a record is relinquished so the new owner can see what has already been entered.	W - Workflow or System Configuration Required	
D51	Access to SSN field	Only authorized users have access to SSN fields based on their individual role/profile.	W - Workflow or System Configuration Required	
D52	Access may vary depending on the SSN being protected	Access rights may be different depending on which SSN is being protected (e.g., child, parent, decedent).	W - Workflow or System Configuration Required	
D53	Special access level	EVRS provides the ability to set up special access roles that allow the users with that role to enter search criteria for records but return only a yes or no if a match is found.	N- Cannot Meet	
E -Record Status				
E1	Save requires minimum fields	A record does not need to be completed in one session, but the minimum fields to create a record must be completed in order to save.	E - Exact match	
E2	Minimum fields State defined	The minimum fields to create a record are State-defined by event type.	E - Exact match	
E3	Ability to exit without creating a record	The system allows the user to "Exit" without creating a new record.	E - Exact match	
E4	Save as pending	Incomplete records are saved with a status of "pending" or equivalent.	E - Exact match	
E5	Access record as many times as necessary	Users can access pending records they have rights to as many times as necessary in order to complete the record.	E - Exact match	
E6	Event designation	Event records are distinguished by event type.	E - Exact match	
E7	Delayed designation	Delayed registrations are distinguished from regular registrations.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
E8	Amendment designation	Amendments to records can be distinguished.	E - Exact match	
E9	Amendment types have code	Each amendment type has a unique identifier.	E - Exact match	
E10	Amendment hierarchy	Amendment codes have a hierarchy that is configurable.	W - Workflow or System Configuration Required	
E11	Amendment hierarchy controls actions	The system uses the hierarchy of amendment codes to control whether a particular amendment action can be done to a particular record.	W - Workflow or System Configuration Required	
E12	Sealed designation	Sealed records can be distinguished from unsealed records.	E - Exact match	
E13	Protection for sealed records	Access to sealed records is controlled by role/profile.	E - Exact match	
E14	Status codes control processing	Status codes on the records control what functions can be performed on the record at the time of access.	W - Workflow or System Configuration Required	
E15	Status may also prevent functions	In addition to enabling functions, status codes may prevent functions. (For example, if an "amendment pending" status exists on a record, the auto-print function is not enabled for that record until the amendment has been processed.)	E - Exact match	
E16	Override some status codes	In some cases an authorized user can override a status such as one to prevent printing when amendments are in process.	W - Workflow or System Configuration Required	Yes, there are numerous override flags and conditions.
E17	Status codes set automatically	Some status codes are automatically set as a byproduct of processing the record.	E - Exact match	
E18	Record Status informs user	Status codes on records are displayed to inform the user about where the record is in the process.	E - Exact match	
E19	State-specific indicators	The system provides the ability for the State to define indicators that authorized users can set that can enable or disable functions. (For example, if money is owed for a request, a user can turn on the "money owed" indicator and that has the affect of preventing certified copies from being printed without an override.)	E - Exact match	
E20	Restricted records indicator	Access to individual records can be restricted using an indicator code so that printing of certified copies for these records requires supervisory override.	E - Exact match	
F -Alerts				
F1	Alerts	The system includes an alert mechanism to designate special conditions including, but not limited to, do not issue, deceased, missing child, kidnapped, fraudulent record, requests for number of copies exceed threshold.	E - Exact match	
F2	Multiple alerts	There may be one or more alerts set on any given record, each serving a different purpose.	E - Exact match	
F3	Alerts are State defined	The State can determine the number and meaning for each alert, and can add alerts at any time.	E - Exact match	
F4	Alerts can be automatic	Alerts can be set automatically by the system based on a trigger.	E - Exact match	
F5	Alerts visible	Alerts are clearly visible to authorized users when the record is displayed.	E - Exact match	
F6	Indicators associated with comment	Authorized users can enter a comment that is associated with a specific alert instance.	E - Exact match	Comment fields can be added for fields. But the NOTE capability can add a record or individual field note which would suffice for this.
F7	"Do Not Issue" codes	Alerts can be set to enable or prevent system actions such as issuing a certified copy.	E - Exact match	The alert is just a visible indicator of the meaning of a field value. That field value is what stops/prevents/allows actions.
F8	Informational Alerts	Alerts may be set for information only and do not enable or prevent system functions.	E - Exact match	
F9	Resolved Alerts	When the condition causing an automatic alert has been resolved, the alert flag is removed automatically. (For example, if the missing child alert is set based on processing an import file, the alert will also be removed by the system if the next import does not include the same child.)	E - Exact match	
F10	Alerts set by authorized users	Alerts can be set by users who have the proper authority	E - Exact match	
F11	Drop down list	Alerts, when set by individuals, are selected from a pre-defined list.	W - Workflow or System Configuration Required	Alerts verbiage is located currently in the edit for that field.

Rule No.	Name	Description	Vendor Response	Comments
F12	Notes can be attached to alerts	When an alert is set by an individual, the user has the option to enter a note as to why the indicator was set or reset.	E - Exact match	
F13	Role/profile determines alerting privileges	The user's role/profile determines what kind of alerting privileges (setting or resetting) the user has.	W - Workflow or System Configuration Required	Roles determine access to the field that is used to trigger the alert.
F14	Interaction between alerts and data fields	When an alert has a relationship to another data field, the system highlights the fact that the related data must be completed. (For example, adding the "Deceased" indicator on a birth record triggers a message that a Death Certificate Number should also be entered.)	W - Workflow or System Configuration Required	All of that criteria is included in the edit that makes the alert present.
F15	Alerts identify action	A description of the procedure that the employee follows for specific alerts is stored in the system and is available to the user if the alert is displayed.	W - Workflow or System Configuration Required	They can check the Help menu to see instructions on different topics.
G - Legacy Data Codes				
G1	Legacy designation	Legacy records can be distinguished from system generated records.	W - Workflow or System Configuration Required	Simple flag in imported or data entered legacy records.
G2	Persistent legacy flag	Legacy records include a legacy flag that is never reset.	E - Exact match	
G3	Modifiable legacy flag	Legacy records include another legacy flag that is reset once the record has been updated and can be used for amendments or issuance.	W - Workflow or System Configuration Required	
G4	Legacy records tied to source	Legacy records contain an identifier for the original source of the record.	W - Workflow or System Configuration Required	
G5	Migrate at implementation	Legacy records can be migrated at the time of system implementation.	W - Workflow or System Configuration Required	
G6	Migrate after implementation	Legacy records can be added from a batch file after system implementation.	W - Workflow or System Configuration Required	
G7	Missing legacy record sequence numbers	When a record is found in a local database that does not exist in the State database, it is migrated to the new EVRS and the record is assigned the next SFN in the sequence for the year that the event occurred.	W - Workflow or System Configuration Required	This is all a process of the data conversion tasks.
G8	Link images at implementation	Legacy images are linked in batches to the appropriate legacy records at the time of system implementation.	E - Exact match	
G9	Link images after implementation	Legacy images are linked in batches to the appropriate legacy records at any time after system implementation.	E - Exact match	
G10	Legacy Error Indicator	During data conversion/migration one or more legacy error indicators can be set based on the specific State-defined criteria, for example missing file date, missing sex, truncated names, missing middle name, xxx in any field.	E - Exact match	
G11	Legacy error indicator controls edits	The existence of a legacy error indicator can control whether certain edit messages fire.	E - Exact match	
G12	Legacy Error Indicator controls actions	The existence of legacy error indicators can control actions in the system, for example, whether issuance can occur from the electronic record or if correcting (completing/backfilling) the record is required.	E - Exact match	
G13	Legacy verify flag	A legacy verification indicator allows legacy records that need verifying to be flagged.	E - Exact match	
G14	Legacy files indicator set during conversion	The legacy verification indicator is automatically set during data migration.	E - Exact match	
G15	Legacy files indicator for individual records	The legacy verification indicator can be manually set for individual records.	E - Exact match	
G16	Legacy files indicator for groups of records	The legacy verification indicator can be manually set for a group of records with a common characteristic without having to access every record.	W - Workflow or System Configuration Required	
G17	Change legacy indicators	All legacy indicators can be changed by an authorized user of the system if the condition that caused them to be set is altered.	W - Workflow or System Configuration Required	
G18	History of legacy record changes	The system includes a tab or historical file that preserves every change made to a legacy record and the source used to make the change.	E - Exact match	Yes, an audit log exists that tracks all changes to a record.
G19	Complete a legacy record	In preparation for amending a legacy record, an authorized user has a way to enter missing data from the source record to make the record complete.	E - Exact match	
G20	Change status for legacy record	After an authorized user has entered the missing data from the paper certificate or image to make it a complete record the system removes the legacy flag to indicate that the record can now be processed as an electronic record.	W - Workflow or System Configuration Required	Yes, this edit is used in other states.

Rule No.	Name	Description	Vendor Response	Comments
G21	Multiple codes for a single literal	During data conversion/migration some legacy fields can translate into two different codes for the same literal (for example, a FIPS code and a State specific city code).	W - Workflow or System Configuration Required	Yes, you can have two codes/fields on the screen from those cases.
G22	County legacy records	During data conversion of county records without a SFN the records will be flagged as "County Issue Only" which prevents issuing at the State.	W - Workflow or System Configuration Required	
G23	Legacy records are cross matched	Legacy records are always part of the birth death cross match process.	E - Exact match	
G24	Immediate cross match	The system has an on demand method of running birth/death cross match only for the new birth or death records added to the EVRS database through a migration of records from a county legacy database.	W - Workflow or System Configuration Required	Yes. Import does run the match, or special parameters can be entered to the match batch process to run certain records.
H - Flag Codes				
H1	Flag fields notify users of extract status	Flag fields exist on records to inform the user whether the record has been included on a specific extract.	E - Exact match	
H2	Flags fields for exports	There is one flag field on the record for each type of extract that is done.	W - Workflow or System Configuration Required	
H3	Flag fields associated with date	Each flag field is associated with the date when the record was extracted.	W - Workflow or System Configuration Required	
H4	Flag fields State defined	Flag fields associated with extract files are defined by the State.	E - Exact match	
H5	Supervisor Issue Only Flag	The system includes a "supervisor issuance only" flag that restricts issuance to authorized personnel only.	W - Workflow or System Configuration Required	
H6	Removal of flags	The system allows only authorized users to remove a flag.	E - Exact match	
H7	Notes for Supervisor Only Flag	Authorized personnel can add notes when setting a "Supervisor Issue Only" flag that are only seen by supervisors and above.	W - Workflow or System Configuration Required	Each note has a security function associated with it. Only people with that security function can see that note. You can add that
H8	User can add flag fields	New flag fields and associated date fields can be created as necessary by the State if a new export file is created.	E - Exact match	
H9	Flag fields can be reset by user	If the user determines that a given record has to be re-exported, the user can indicate in some way that it should be resent.	E - Exact match	
H10	Flags can be reset by system	The system recognizes when a change is made in a field that necessitates a re-export of the record to one or more of the external entities and automatically (re)sets the appropriate flags.	E - Exact match	
H11	Flag resets are unique	Because the fields that are included in exports to different entities are different, a change to a specific data element may or may not (re)set the flag for every export of that record.	E - Exact match	
H12	Re-export batch	The system provides the capability to re-export an entire extract.	W - Workflow or System Configuration Required	Yes, but may depend on the date or other parameters of that extract.
H13	NCHS Flags	NCHS flags exist in the system to indicate overrides on specific data (e.g. soft edits), which indicates that the user has verified that the data has been validated.	E - Exact match	
H14	SSN verification flag	The status of SSN verification is visible to the user.	E - Exact match	
H15	Allow any authorized user to remove flags	The systems allows authorized users to remove flags.	E - Exact match	
I - Voids and Record Abandonment				
I1	Void registered records	The system provides an authorized user with a function to void a registered record.	E - Exact match	
I2	Void designation	Voided records can be distinguished from active records.	W - Workflow or System Configuration Required	Void records are active records by default.
I3	Display screen for entering state file number	The system provides a way for an authorized user to search by parameters (for example, by State File Number) for a record that is to be voided.	E - Exact match	
I4	Void while viewing	The system provides a way for an authorized user to void a record while viewing.	W - Workflow or System Configuration Required	User would set a void flag and save the record. Or do a Void Modification/Correction on the record to have access to that field.
I5	Confirm void	The system requires the user to take a positive action to confirm that s/he wishes to void the record before the void is processed.	W - Workflow or System Configuration Required	These messages can be configured.
I6	Reason for void	The system requires the user to enter a reason code and text explanation of why the record is to be voided.	W - Workflow or System Configuration Required	These fields can be configured.

Rule No.	Name	Description	Vendor Response	Comments
I7	Void status	The system automatically updates the record status of a voided record to "Valid Voided Record".	W - Workflow or System Configuration Required	
I8	Prevent printing certified copy	The system prevents printing of a certified copy after the record is voided.	E - Exact match	
I9	Voids available for microfilming	Voided records are included in files prepared for microfilming to prevent gaps in SFNs, but are clearly marked as voided.	W - Workflow or System Configuration Required	
I10	Resolve duplicates	The system provides the ability to remove duplicates records.	E - Exact match	
I11	Merge duplicates	An authorized user has the option to merge information from duplicate records before deleting the duplicate.	F - Future	We anticipate this functionality being available in 2021.
I12	Timeframe for abandonment of records	The timeframe for determining when an active, unregistered record is considered for abandonment is State-defined and configurable.	W - Workflow or System Configuration Required	
I13	User-defined period for abandonment	The period of time to classify a record as potentially abandoned can be different for each event type.	W - Workflow or System Configuration Required	
I14	Abandon on demand	The user can abandon an unregistered record on demand.	W - Workflow or System Configuration Required	
I15	Abandon as a batch	Authorized users access potentially abandoned records from a queue as a group.	W - Workflow or System Configuration Required	
I16	Abandon individually	Authorized users access potentially abandoned records from a queue by the individual record.	W - Workflow or System Configuration Required	
I17	Deactivate abandoned records	Only authorized users at the State may deactivate abandoned records from system.	E - Exact match	
I18	Access to Abandoned records.	Once a record has been coded as abandoned, only authorized users at the State have access to the records.	W - Workflow or System Configuration Required	
I19	Purge records	The system provides a process by which the State can review and easily archive or purge abandoned records.	N- Cannot Meet	We do not archive records.
I20	User elects not to abandon record	Even though a record meets the time frame for abandonment, the State may elect not to abandon the record by resetting the status prior to purging.	W - Workflow or System Configuration Required	
I21	Abandonment message to record owner	The State may elect to send a message through the system to the owner of an abandoned record to get information about the reason for inactivity.	E - Exact match	
J - User Interface				
J1	State branding	The home page is branded with the State Vital Records information, and is configurable by the State.	E - Exact match	
J2	Logon banner	The system displays the State approved logon banner before the user logs into the system.	W - Workflow or System Configuration Required	
J3	Screen structure	The system menu structure has the least number of layers practical.	E - Exact match	
J4	Menus	Menus are dynamic with different functions listed based on the individual's role/profile.	E - Exact match	Most menus are like this. Some are static.
J5	Configure menus	Menus are configurable by the State Configuration Manager.	E - Exact match	
J6	Most common transaction path	The system allows a user to complete a simple and common transaction without having to view unnecessary screens or tabs.	E - Exact match	
J7	Standard look and feel for all modules	Screens for all modules have a common HTML 5 compatible structure that includes fonts and colors, headings, status line, and error messages.	E - Exact match	
J8	Standard functionality	Standard functionality is used for such tasks as opening and closing screens, cut-and-paste, querying and deleting.	E - Exact match	
J9	Consistent functionality	Screens, menus, and other interface objects function identically throughout the system.	E - Exact match	
J10	Screen consistency	Objects are placed on screens in a consistent manner.	E - Exact match	
J11	Can add fields to screens	Screens are configurable by the State Configuration Manager at the field level.	E - Exact match	
J12	Paragraphs are configurable	Screens paragraphs are configurable by the State Configuration Manager.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
J13	Tabs are configurable	Screen tabs are configurable by the State Configuration Manager.	E - Exact match	
J14	Screen size	Screens are sized to allow convenient viewing and adding of a single record without scrolling, unless a small scroll would eliminate a second page.	E - Exact match	
J15	Record divided into logical segments	Entry of a record is divided into logical segments based on the needs of the user type intended to complete each section.	E - Exact match	This is state driven, but the screen order is the same for all users but fields can be hidden or protected for various user types to allow for
J16	Display of the electronic certificate	The order of fields on the screen are configured to follow the state-defined order (may be based on format of worksheet or paper certificate).	E - Exact match	
J17	Maximum opportunity to cross reference data	The placement of data among multiple screens provides the maximum opportunity to cross reference data entered on different screens. (For example: populate a selection list with cities and towns based on a zip code previously entered.)	E - Exact match	
J18	Interplay of data	In some cases, at the State's request, entry of data in a field can trigger auto populating of other fields.	E - Exact match	Stand feature we call RELATED fields. Where one drop-down from a table will populate other related fields with data from that row chosen
J19	Required fields	Some fields can be designated as required.	E - Exact match	Simple checkbox on our Gui Screen Designer. Or it can be signified with an edit.
J20	Required fields vary by event	Which fields are required may be different for each event.	E - Exact match	
J21	Configure required fields	The State Configuration Manager can modify the designation of fields as being required.	E - Exact match	
J22	Options status sensitive	User options are sensitive to the status of a record. (For example, the option "submit for registration" only appears on the screen when the user has satisfied all the necessary edits.)	E - Exact match	All the edits work together to give the user the best experience.
J23	Access to full record	Once a record is accessed, every screen format includes a method of getting to all the other screens of data necessary to view the entire record.	E - Exact match	We use tabs across the top of the screen to make navigating to different sections easy and quick.
J24	Access to associated record history	Once a record is accessed, a user with the proper authority can easily display the history of changes to the record.	E - Exact match	The link to the audit log can do this.
J25	Access to associated amendments	Once a record is accessed, a user with proper authority can easily display the legal corrections and amendments associated with the record.	E - Exact match	The user can link to the change request system for that record.
J26	Print history associated with record	An authorized user can print the full history of a record including the original record and all changes/amendments associated with the record.	W - Workflow or System Configuration Required	
J27	Access to associated list of printed outputs	Once a record is accessed, a user with the proper authority can display a list of all correspondence including faxes, queries, and printed outputs related to the record, e.g., certified copies, abstracts.	E - Exact match	The user can Link to Document Tracking where all of the documents printed for that record are detailed.
J28	Tab data is maintained.	The system protects a user from losing data entered on one tab if they move to another tab on the same record.	E - Exact match	
J29	Issue SAVE message	The system will ask the user if the record should be saved prior to exiting (including closing the browser) if the SAVE action has not already been taken.	E - Exact match	
J30	Save with errors	The system provides a quick way to save an incomplete record as pending without having to display all error messages associated with the record.	E - Exact match	The Menu item SAVE NO EDIT will do this.
J31	Dynamically display fields	The system dynamically displays fields as either entry or read-only or masked depending on the role/profile of the user.	E - Exact match	
J32	Use of color to enhance usability	Wherever possible the colors used to present information and collect data enhances the user's ability to perform the procedure. (For example, this might include highlighting hard edit fields in a different color, presenting sensitive data fields in another color, etc.)	E - Exact match	
J33	More than color	Color alone should not be the only indicator of a field's characteristics.	E - Exact match	
J34	Color indicators override PC configuration	System color settings override color settings a user may configure outside the system (e.g. windows settings).	W - Workflow or System Configuration Required	
J35	Non-sequential data entry	Non-sequential entry of data on a screen is allowed.	E - Exact match	
J36	Pop-up windows	Pop-up windows are used to communicate messages.	E - Exact match	
J37	Field-level scrolling	Field-level scrolling can be used to view longer comments and field values.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
J38	Implementation of controlled selections	Controlled selections can be implemented where appropriate. For example, use radio buttons instead of drop downs for yes/no questions.	E - Exact match	
J39	Drop down lists	Drop down lists can be used to select valid, dynamic data stored in reference tables.	E - Exact match	
J40	Changes to drop downs	Modifications to drop down lists do not affect the values selected for existing records.	E - Exact match	
J41	Designation of control type	The State Configuration Manager can designate the type of control for a specific field (e.g. free text, pick list).	E - Exact match	
J42	Edit of free form data	Data entered in a free form field can be associated with edit rules defined by the State.	E - Exact match	
J43	Pick lists display filtered lists of values	Where appropriate, pick lists are filtered to display only items that make sense to the record based on data previously entered (i.e. context-sensitive drop down).	E - Exact match	This standard feature is used to filter the dropdown to be more in line with other fields on the screen.
J44	Scroll through pick lists	Users can scroll through a pick list to find the correct value.	E - Exact match	
J45	Type to find item in pick list	Users can begin typing the correct selection in a pick list field and the list is repositioned as the letters are typed until the correct item is displayed.	E - Exact match	
J46	"No answer" pick list	Pick lists can include items such as "Unknown," "Refused," "Not Given, "None," "Pending," and "Not Obtainable" for unknown or other responses.	E - Exact match	
J47	NCHS coding	The system automatically applies the appropriate NCHS code corresponding to the "no answer" selected.	W - Workflow or System Configuration Required	Standard UNKNOWN processing for fields yields the values NCHS wants for the various conditions.
J48	Explanation of "other"	When appropriate, if the user selects "other," the user is guided to enter an associated literal explanation.	E - Exact match	
J49	Read-only fields	Fields can be made "read-only" based on role/profile.	E - Exact match	
J50	Field Auto fill	An entry in a field can be set to auto populate the contents of one or more other fields automatically.	E - Exact match	Related fields will be populated if a dropdown. Or, behind the scenes edits can be used to populate in various ways.
J51	Zip codes with multiple jurisdictions	If the zip code crosses multiple jurisdictions, the system requests the user to select the correct one.	W - Workflow or System Configuration Required	
J52	Highlight edits on records	The system lets the user know which hard and/or soft edits, if any, exist in the record.	W - Workflow or System Configuration Required	The error message on the field will make this obvious to the user but normally fields will not have any indicator.
J53	Mouse free	Movement from field to field progresses by pressing the tab or enter key without the need to use the mouse.	E - Exact match	
J54	Mouse enabled	The system allows movement from field to field by using the mouse to click on the desired field.	E - Exact match	
J55	Field Advance	The system can be configured for certain fields to move directly to the next field without pressing enter or tab when the entry fills the entire field.	E - Exact match	Typically for 1 character fields such as Y N.
J56	Hot keys	The system uses State defined hot keys. Examples of potential hot keys are: - entering "T" in a date field to generate today's date. - using plus and minus sign for incrementing or decrementing the date	E - Exact match	We increment the dates with T for today and F for forward and B for back. Others are available also.
J57	Resize windows	The system allows application windows to be resized.	E - Exact match	
J58	Display record owners	The system allows an authorized user (by role/profile) to display a list of all owners currently associated with a given record.	W - Workflow or System Configuration Required	This would be a document the user could run that contains that information in a state defined format. We have no simple summary
J59	Query anytime	The system allows a user to perform an appropriate database query while in the middle of a transaction without disturbing the processing of the transaction. (For example, the user can look-up another record, history on the existing record, or a list of other queries and come back to the same place in the transaction where they were before beginning the query.)	E - Exact match	
J60	Positive confirmation	Selected functions in the system (for example, abandonment of a record, relinquishing a record, voiding a record, or certifying a record) can be configured to ask for a positive confirmation from the user prior to system performing the function.	W - Workflow or System Configuration Required	These are state defined edits and messages to the user for various tasks.
J61	Confirmation configurable by State	The State Configuration Manager can designate which functions in the system ask for a positive confirmation from the user prior to system performing the function.	E - Exact match	The state configuration manager has full access to our tools to add and change edits and messages.
K - Customer-centric data model				

Rule No.	Name	Description	Vendor Response	Comments
K1	Summary of life history	The system provides a view in chronological order of the records for an individual.	W - Workflow or System Configuration Required	This can all be done with our configuration tools. This will be multiple grids on multiple tabs for this CCM. The dynamic nature will allow
K2	History includes birth	The chronological list includes the original birth record showing state-define data.	W - Workflow or System Configuration Required	
K3	Sealed records	The sealed portion of records are only visible to authorized users.	W - Workflow or System Configuration Required	
K4	History includes amendments	The chronological list includes all corrections and amendments to the original record showing state-defined data.	W - Workflow or System Configuration Required	
K5	History includes issuance	The chronological list includes all requests for certified copies and other requested documents showing state-defined data including where the request was processed.	W - Workflow or System Configuration Required	
K6	History includes correspondence	The chronological list includes all correspondence for the individual showing state-defined data.	W - Workflow or System Configuration Required	
K7	History includes death record	The chronological list includes the death, if applicable, for the individual showing state-defined data.	W - Workflow or System Configuration Required	
K8	History include death amendments	The chronological list includes corrections and amendments to the death record for the individual showing state-defined data.	W - Workflow or System Configuration Required	
K9	Summary of life history including family relationships	The system provides a view separate from the individual view that includes in chronological order both the records for the individual and records for family members.	W - Workflow or System Configuration Required	
K10	Parent births	Family records include parent birth records.	W - Workflow or System Configuration Required	
K11	Parent deaths	Family records include parent death records.	W - Workflow or System Configuration Required	
K12	Sibling births	Family records include sibling birth records.	W - Workflow or System Configuration Required	
K13	Sibling deaths	Family records include sibling death records.	W - Workflow or System Configuration Required	
K14	Hyperlinks	Names of family members are hyperlinks that will take the user to the specific record if the link is clicked.	W - Workflow or System Configuration Required	Instead of hyperlinks, the user will double click on the entry in the grid to go to that person's record.
K15	Family members display in separate window	If a user clicks on a hyperlink for a family member the system opens it up a new window so that the user can close the window and return to the original record.	W - Workflow or System Configuration Required	True except for the hyperlinks.
L - Data, Data Formats and Tables				
L1	NCHS data elements	The system includes all NCHS standard data elements.	E - Exact match	
L2	NCHS data elements	The State has the ability to add/delete from the NCHS standard data element list.	W - Workflow or System Configuration Required	Yes, fields can be deleted or hidden on the screen, and they can be blanked out or deleted from the NCHS extract/Import.
L3	Keep dropped data elements	The State has the option to keep data fields in the system even if they are dropped from the standard by NCHS.	E - Exact match	
L4	Support for US Standard Certificates	The system supports all US Standard certificates including all the State-specific modifications.	W - Workflow or System Configuration Required	We have created the US Standard certificate. We will configure you certifcate to your specifications.
L5	Current and new formats	The system can support multiple data formats (old versions as well as the new) for all certificates.	E - Exact match	
L6	System includes new standards	The system supports both the current data format used by the State as well as new data formats already defined as a US Standard even if the standard has not yet been adopted by the State.	W - Workflow or System Configuration Required	
L7	Transition from current to new certificate	The system transitions from any current standard certificate to a new standard certificate in a seamless manner based on the date of the event. This includes changes to data elements and formatting of screens and printed documents.	E - Exact match	The document wizard determines by date or other criteria which printing menu item to show the user to choose from.
L8	Reference Tables	The system maintains all lists in reference tables to ensure that the State can add, delete, or modify lists without programming.	E - Exact match	
L9	Code tables	All codes (for example: record status, marital status, ethnicity, etc.) used by system are contained in tables.	E - Exact match	
L10	Records are coded	The system automatically selects and stores the corresponding code or codes for specific literal values that are entered by a user.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
L11	Initial establishment of tables	During implementation some tables can be populated from existing data sources such as a file from physician licensure.	W - Workflow or System Configuration Required	We would have to have the format.
L12	Tables maintained by State	Tables can be maintained by the State Configuration Manager or other authorized users.	E - Exact match	
L13	Add tables	New code tables associated to a data field can be added by the State Configuration Manager.	E - Exact match	
L14	Rules Tables	The system provides for the storage and management of a rules database to be used throughout the system for security, data validation, and other edits and enforcement of business rules.	W - Workflow or System Configuration Required	All of our edits and security and documents and reports and everything else is stored in the database tables as Metadata. This makes changes easier and consistent throughout the system for the
L15	State specific rules	State-specific business rules (for example the rules for record abandonment) can be defined in system tables even if they are not a topic covered by national rules.	E - Exact match	
L16	National Standards	System provides tables consistent with national standards and NCHS COD editing.	W - Workflow or System Configuration Required	All of our edits follow the NCHS COD standard with regards to additions and subtractions from the state.
L17	Fee tables	The system contains a table that includes the total fee amount, allocations to different categories and associated account numbers for each category.	E - Exact match	Yes, the CASERVICEFEE table houses this.
L18	Fees vary	Fees for the same service can vary among jurisdictions and between the jurisdiction and the State.	E - Exact match	Yes; each jurisdiction or regional office or location can have its own price and list of services.
L19	Update fee tables	Authorized users at jurisdictions can update the fee tables only for their jurisdiction.	W - Workflow or System Configuration Required	We have this capability but normally the state handles the overall update of this fee table.
L20	Support State-Specific Coding	The fee categories included in the fee table are associated with a State-defined and managed codes (percentages of fees, record types, etc.) that define the distribution of fees.	E - Exact match	
L21	Support State-Specific Coding	State defined codes from the fee table are used to support transaction reporting and distribution/accounting of funds.	E - Exact match	
L22	County designation	In addition to the jurisdiction number, the record includes the relevant county designation.	W - Workflow or System Configuration Required	Fields can be added if needed.
L23	Jurisdictional accounting reports	All reports related to fees are separated by state and each jurisdiction.	W - Workflow or System Configuration Required	
L24	Who gets the revenue	If one jurisdiction prints or issues a record for another jurisdiction the revenue accrues to the jurisdiction owning the record.	E - Exact match	The originating jurisdiction will get the revenue.
L25	Maintenance of code and reference tables	Configuration Manager has the ability to maintain the code and reference tables.	E - Exact match	
L26	Deactivated table value	The system keeps track of the information of a deactivated table value as this information may be linked to existing records.	W - Workflow or System Configuration Required	We use the begin and end effective days so the institution shows on old records.
L27	Control order of lists	The Configuration Manager has the ability configure the order in which entries in a pre-defined list appear, so that frequently used entries are at the top even if that is not the normal order alphabetically or numerically.	W - Workflow or System Configuration Required	We can sort the drop down lists values on the screen depending on a column in the table. The user will order the dropdowns. We do not do any frequency analysis on the entries to provide the order.
L28	Code attributes	Codes and their associated values and edits have attributes of "valid from" and "valid thru" so that the system can determine when to begin using or stop using them, making migration to new codes seamless within the system.	E - Exact match	Begin and End Effective date is what we use system wide.
L29	State can create new data fields	The system provides an extensible data model configurable by the State that allows the addition of an unlimited number of new fields to the database.	W - Workflow or System Configuration Required	We cannot say unlimited due to database software limitations, but the state can add a large number of fields to the events and database to
L30	Multiple parents	The system accommodates as many parents as needed on a record, including their places of birth.	E - Exact match	
L31	Gender selection	The system accommodates gender selection.	E - Exact match	
L32	Unique Record ID Number	A unique perpetual record ID number is assigned to each new event record that functions as an internal control mechanism within system.	E - Exact match	
L33	Record ID Number Visible	The unique perpetual record ID number is visible to the users based on role/profile.	E - Exact match	
L34	Mixed case	Name fields are entered and stored in mixed case (upper/lower).	E - Exact match	
L35	Names are parsed	All names (first, middle, last, generational ID) are parsed into individual fields.	W - Workflow or System Configuration Required	The fields are entered into the four fields by the operator for new records.

Rule No.	Name	Description	Vendor Response	Comments
L36	Special Characters for Names	The system allows for the use of special characters in names such as a dash (-) or numbers in numerical form. Characters allowed are State-defined.	W - Workflow or System Configuration Required	Yes, and NCHS only allows certain values that we send to them.
L37	Standard Font	Standard fonts are used for special characters.	E - Exact match	
L38	Character Count for Names	First, middle and last name may have up to 50 characters each, for a total of 150 characters.	W - Workflow or System Configuration Required	Any size is permitted.
L39	Use of Diacritical Marks in Names	The system permits the entry and printing of diacritical marks on the birth certificate.	E - Exact match	
L40	Print Diacritical Marks	The system prints diacritical marks on the birth certificate.	E - Exact match	
L41	Submission of Names with Diacritical Marks to SSA	The system will remove diacritical marks when transmitting names to SSA.	E - Exact match	
L42	Printing long fields	For long fields, the font size is adjusted on forms so that the field fits in the space provided.	E - Exact match	
L43	Limit font size	The minimum font size for printing a long field is configurable by the state.	E - Exact match	
L44	Print Long Names on Second Line	If the character count of a name does not fit on one line, the name is continued on a second line.	E - Exact match	
L45	Aliases	The system provides functionality to allow the user to enter multiple aliases associated with a record.	E - Exact match	
L46	Geocodes	The system includes the ability to store geo-codes.	E - Exact match	
L47	Missing geocodes	If the import file of geocodes does not supply the geocodes for a particular record, the system moves the record to the "no matching geocode" queue and registers the record.	W - Workflow or System Configuration Required	
L48	Manually assign geocodes	The system allows a user to manually enter a geocode.	E - Exact match	
L49	GIS Compatibility	Addresses are set up to accommodate geo-coding by following the NCHS recommendations that address data be set up to: - provide the capability to separate pre- and post-directional - street number - street name - street designation (lane, road, street, Blvd., etc.) - allow for extended zip codes - allow latitude and longitude coordinates - allow for centroid values.	W - Workflow or System Configuration Required	
L50	Default values	Default values with overwrite provisions can be set up for selected fields.	E - Exact match	
L51	Defaults user specific	Default values may be specific to a user role/profile or location.	N- Cannot Meet	This used to be available in our software but was not used and accordingly dropped from the newer versions.
L52	Defaults State defined	The use of default values is State defined and configurable.	E - Exact match	
L53	Record level notes	Anytime a record is open, an authorized user can append notes that relate to the entire record.	E - Exact match	
L54	View record level notes	Record level notes are viewable to authorized users from all appropriate screens.	E - Exact match	
L55	Change record level notes	Who can edit or remove record level notes is set by role/profile and relationship to the note author (for example, self or supervisor).	W - Workflow or System Configuration Required	Depends on the security of the person. It is not determined by the author or relationship.
L56	Field level notes	Notes can also be entered at the field-specific level.	E - Exact match	
L57	View field level notes	Field level notes are viewable to authorized users from all appropriate screens.	E - Exact match	
L58	Change field level notes	Who can edit or remove field level notes is set by role/profile and relationship to the note author (for example, self or supervisor).	W - Workflow or System Configuration Required	Depends on the security of the person. It is not determined by the author or relationship.
L59	System date default	The system date is populated in fields that need the current date, except as noted in specific rules.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
L60	System date and time	The system date and time are stored in UTC.	N- Cannot Meet	
L61	Display in local time	Date and time are converted to appropriate time zone for re-display.	N- Cannot Meet	
L62	Date Formatting for storage	Date formatting follows the NCHS standard and HL7 standard for transmission of YYYYMMDD.	E - Exact match	
L63	Screen display of dates	Screens will display dates as mmddyyyy.	E - Exact match	
L64	Store both literals and code values	An event record includes both literal values entered by participants and any subsequent codes derived from those literal values.	E - Exact match	
L65	Multiple codes for a single literal	The system can generate more than one code from a single literal. (For example, in birth the State codes records with the FIPS code for city and the state specific code for city.)	E - Exact match	
L66	Preserve original record	Amendments do not overlay the original record, but instead create a new record with the updated information.	E - Exact match	
L67	Clearly denote changes	The system makes it easy for the user to understand what has changed from one version of the record to the next.	E - Exact match	
L68	Transitional version	The system provides a smooth transition into new specifications. For example, if a new field is initiated on the first day of the year and is only to be used for cases occurring in that year or subsequent years, then system distinguishes which fields to include when it dynamically generates a form.	W - Workflow or System Configuration Required	This could be a new Gui Year but more likely the edit takes care of the new field to protect it and edit the contents.
L69	Legal versus statistical fields	In some cases, the system may include a legal and statistical version of the same field to accommodate the need for Vital Statistics to change a value for statistical purposes that cannot be changed on the legal document.	W - Workflow or System Configuration Required	
L70	Initial population of legal and statistical fields	If a legal and statistical version of a field has been defined, both versions of the field will be populated when the record is originally created and changed simultaneously until the point where the record is registered.	W - Workflow or System Configuration Required	
L71	Recode values	An authorized State user can recode literal values in the statistical data after the record is sent to the State.	W - Workflow or System Configuration Required	
L72	State Year closed indicator	The system provides a way to indicate that a year has been closed by the State that globally applies to all records registered to that point.	W - Workflow or System Configuration Required	
L73	NCHS Year closed indicator	The system provides a way to indicate that a year has been closed by NCHS that globally applies to all records registered to that point.	W - Workflow or System Configuration Required	
L74	Change to legal and statistical fields due to amendment within the year	An amendment will change both the legal and statistical fields if the amendment occurs before the State data year is closed.	W - Workflow or System Configuration Required	
L75	Change to legal and statistical fields due to amendment after the year is closed	An amendment will change only the legal fields if the amendment occurs after the State data year is closed.	W - Workflow or System Configuration Required	
L76	Statistical changes	Authorized Vital Statistics personnel can change the value in the statistical field independently without affecting the value in the legal field.	W - Workflow or System Configuration Required	
L77	View legal and statistical fields	The system provides authorized Vital Statistics personnel with the ability to view the legal fields (read-only) and the statistical fields side-by-side and alter the statistical fields if desired.	W - Workflow or System Configuration Required	Depends on the screen organization set up by the state.
M - Data Editing				
M1	National edit standards	The system provides field level data edits that are consistent with national standards.	W - Workflow or System Configuration Required	We follow the NCHS edits that are needed for their data.
M2	Modify National standards	Data edits that are suggested by the national standards can be modified by the State.	E - Exact match	
M3	Enforce State rules	The system thoroughly enforces State specific rules for edits.	W - Workflow or System Configuration Required	Yes our system will follow the edits needed for the state.
M4	Immediate edit messages	Relevant edits fire as the data is being entered.	E - Exact match	
M5	Edit checks are rerun automatically as field values change	The system may automatically rerun record edits as field values are changed within the record.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
M6	System prompts for evidence	When processing amendments, the system prompts the user to attach the required documents.	W - Workflow or System Configuration Required	Different documents are needed for different amendments. We cannot tell what exactly was scanned and attached, but we can tell if
M7	Edit for missing evidence	The system fires and edit message if the required evidence is not scanned and attached to the record.	W - Workflow or System Configuration Required	Different documents are needed for different amendments. We cannot tell what exactly was scanned and attached, but we can tell if
M8	Hard edits	Edits can be defined as absolute or "hard" edits.	E - Exact match	
M9	Hard edits must be corrected	When a field fails a hard edit, the user is prevented from submitting a form until the field is completed (some of which may be completed by entering "unknown").	E - Exact match	
M10	Edit Errors Bypass	In circumstances where the person entering the data is unable to resolve an editing error, an edit error bypass allows the user to continue working in the record and return at a later date to resolve the error but prior to submitting the record for registration.	E - Exact match	The User can Query the field or Override the Field edit.
M11	Options for hard edits	For hard edits, the system displays messages appropriate for the failure and presents the options: "reenter data" and "skip edit" or equivalent.	E - Exact match	
M12	Record status reflects existence of errors	The record status is updated to reflect that the edit errors were bypassed. The status reads: "Active - Edit Errors on Record" or equivalent.	W - Workflow or System Configuration Required	Our software knows if an edit error was bypassed or overridden and that can result in a record status having a certain value to indicate
M13	Provide soft edit warning message	Edits can be defined as warnings or "soft edits" which notify the user of a problem but do not force the error to be corrected. The user is allowed to proceed with the out-of-range value.	E - Exact match	
M14	Rekey soft edit failure	Some soft edits may be configured to require rekeying of the data.	E - Exact match	
M15	Resolve with rekey	If the rekeyed value is the same as the first, a flag is set to indicate that the rekeying confirmed the value to be accurate as far as the keyer knows. It does not mean that the value meets the needs of the State so further querying may be done in the future.	N- Cannot Meet	
M16	Validate soft edits	For soft edits that do not trigger rekeying, the user can set the resolved flag in the record to indicate that they have been able to verify that the data that triggered the soft edit message is correct.	E - Exact match	
M17	Notes on out of range values	The user can enter notes to explain the reason when a field that triggers a soft edit is verified as correct.	E - Exact match	Notes are available on any field or record.
M18	Soft edits as flags	The results of the soft edit will indicate the degree of verification. Soft edits may be "Edit passed.", "Edit failed, data queried and verified.", "Edit failed, data queried but not verified.", "Edit failed, review needed.", or "Edit failed, query needed.", or edit messages with equivalent meaning.	W - Workflow or System Configuration Required	Yes, Some fields reported to NCHS also have a reported edit bypass flag that indicates these values. We can easily configure that for any field.
M19	Explanation of "unknown"	The system provides the user with the option to enter an explanation in a text field whenever a selectable list contains "unknown" or a similar value .	W - Workflow or System Configuration Required	NCHS has certain values in a dropdown the user can choose to fill in to send to them.
M20	Mandatory comments	The system provides the ability for the State Configuration Manager to make a specific type of comment mandatory.	E - Exact match	
M21	Tracking Errors on Record	The record status indicates that the edit errors were bypassed and the record is incomplete.	W - Workflow or System Configuration Required	
M22	Single field edits	The system performs single field edits.	E - Exact match	
M23	Cross-field edits	The system perform cross-field edits.	E - Exact match	
M24	Identification of Cross-field errors	All fields involved in a cross-field edit are displayed together so the user can see where the edit message was derived.	N- Cannot Meet	The fields might not be on the same screen and we do not show all of them at one time.
M25	Record level validation when record marked complete	Edit validation of the entire record for accuracy and completeness, following NCHS and State specified rules, is performed when the user indicates that the record is "complete."	W - Workflow or System Configuration Required	Numerous times the edits are fired. When a field is tabbed out of, when a record is saved, and then we have a specific VRS Function that can SAVE a record and run the edits at any time for any special
M26	Edit messages appear together	All error messages are reported at the same time and in a common location on the screen.	N- Cannot Meet	The errors are displayed and the operator has a chance to fix them individually. Not all of them are displayed at the same time unless
M27	Error messages are clear.	Error messages generated by the system are clear, non-technical and provide information that is of real assistance to the user in correcting the error.	E - Exact match	
M28	New edits	During an event year, new edits can be incorporated as needed.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
M29	Edits have from and to dates	Edits can be associated with from and to dates that determine if the edit fires when compared to the date of the event.	F - Future	
M30	Hard edit fields	Hard edits can be changed by the Configuration Manager as the State's needs change.	E - Exact match	
M31	Blank fields	Fields cannot be left blank.	W - Workflow or System Configuration Required	This depends on the state edits. It is not a system wide mandate but a field by field edit option.
M32	Field characteristics	Fields are defined as numeric, alpha, alpha-numeric and hard edits ensure that the data entered in the field complies with the definition.	E - Exact match	
M33	QA check on "no answer" values	An automated QA check notifies the user and supervisor if a significant number of "no answer" values exist in any one record.	N- Cannot Meet	With edits, the system can alert the user that there are still skipped fields or fields in error on the record.
M34	SSA data acceptance	System queues for display records with any soft edit that will not be accepted by SSA (e.g. digits in name field).	W - Workflow or System Configuration Required	Work queue can be created for records that have errors in them.
M35	Duplicate SSN's in legacy data	Duplicate SSN's are allowed to exist in the converted legacy data and in new system data.	E - Exact match	
M36	Spell Check	The system includes an English language spell check function.	E - Exact match	
M37	Spell Check Medical Terminology	The spell check dictionary includes medical terminology.	E - Exact match	
M38	Spell check run automatically	The spell check function runs automatically behind the scenes and immediately notifies the user of misspellings.	E - Exact match	
M39	Add words	Authorized users at the state can add words to the spell check dictionary.	F - Future	
M40	Constraint Overrides	The system allows authorized users to override any constraint within the system.	W - Workflow or System Configuration Required	This is dependent upon the edits and the state's requirements.
M41	Log date/time of override	The system captures and logs the date/time and user ID on an override.	W - Workflow or System Configuration Required	The edit overrides can be kept in the error file for future use in helping train users.
M42	Obvious errors	Obvious errors to demographic information may be fixed by an authorized user. (examples include misspellings or typographic errors of city names)	E - Exact match	
M43	Obvious errors do not apply to names or dates	Name and date fields are locked to the user. Changes may not be made.	W - Workflow or System Configuration Required	This is all configurable and determined by edits.
M44	Enter text comment on override	The system allows a user to enter a text comment on the reason for the override.	W - Workflow or System Configuration Required	We can add numerous text fields to handle this situation if wanted.
N- Searching and Matching				
N1	Search when starting a record	When starting a new record the system searches the database across events looking for duplicates. For example, for a new birth record the system checks birth, fetal death and death records looking for a match.	W - Workflow or System Configuration Required	
N2	Search the Health Exchange for birth event	When starting a new birth record, if the search of the EVRS database does not find a match, the system will search the Health Exchange.	M - Modify	
N3	Check Health Exchange for death event	When starting a new death record, if the search of the EVRS database does not find a match, the system will search the Health Exchange.	M - Modify	
N4	Check Health Exchange for fetal death event	When starting a new fetal death record, if the search of the EVRS database does not find a match, the system will search the Health Exchange.	M - Modify	
N5	Create record from Health Exchange	If the search of the Health Exchange finds a match the system can start an event record from the data in the Health Exchange record.	M - Modify	
N6	Search parameters State defined	The search parameters for each event are State defined.	E - Exact match	
N7	Legacy search	Legacy records will be included in search results if they match the criteria entered.	E - Exact match	
N8	Search parameters differ by event	Search parameters are different for different events.	E - Exact match	
N9	Search parameters configurable	Search parameters are configurable by the State Configuration Manager.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
N10	Search criteria vary by type of user	Search criteria are dependent upon the user role/profile authorization rights and in the context of the usage. (For example, the search criteria for an employee of a funeral establishment is different than those of a State user. Searches to start a record are sometimes different from general queries.)	E - Exact match	
N11	Searching when starting a record	When starting a record, the search checks all records regardless of institution and status to ensure that a duplicate record is not created.	E - Exact match	
N12	Search by any name	The search includes the option to search any name on a certificate.	W - Workflow or System Configuration Required	
N13	Search by name and see aliases	When looking for an individual, the user can search by the primary name and bring up a list of the primary record and all the aliases associated with the name.	W - Workflow or System Configuration Required	
N14	Search by alias and see main record	When looking for an individual, the user can search by an alias name and bring up the primary record as well as all the other aliases.	W - Workflow or System Configuration Required	
N15	Disregard case	Searches disregard upper/lower case when performing the search.	E - Exact match	
N16	Disregard special characters	Other than hyphens and apostrophes, searches disregard special characters and use the English equivalent. Accents over vowels are disregarded for searches.	F - Future	There needs to be a flag on certain fields so the value typed into the search screen will be stripped of special characters before the search
N17	Limit search results by institution	The display that results from a search at an institution is limited to those records associated with the institution conducting the search.	E - Exact match	
N18	Controlled access to records	In no case does one institution have access to a record owned by another institution unless there is a corporate relationship set up in the system.	E - Exact match	
N19	Notification of duplicate record	If the search results in a match but the institution doing the search is not authorized to see the record, system notifies the user that a duplicate was found but cannot be displayed except for information of the current record owner.	E - Exact match	
N20	Send notification to record owner	The system sends a notification to the owner of the record indicating that a non-owner (e.g., another funeral director who does not own the record) is trying to access the record. The notification provides the requesting user contact information.	N- Cannot Meet	The search will result in no records because the funeral director can only see their own records.
N21	Exact matches	The system searches for exact matches.	E - Exact match	
N22	Wild card searches	The system provides wild card search functionality assigned by role/profile.	E - Exact match	
N23	Soundex search	If system does not find an exact match in a name search, the system provides the option to perform a soundex search on that name using the Russell Soundex, modified with any the State specific variations.	W - Workflow or System Configuration Required	A search Soundex field is available on the search screen to enter the name and have it converted to soundex for the search. We can use the SQL server or the Delphi one which is based off of the Russell
N24	Querying procedures all multiple combinations.	Throughout the system, search functionality allows multiple data combinations for searching.	E - Exact match	
N25	Restricted date ranges	The system allows the user to restrict a search request using from and to dates for the date of the event where the dates can be all or any portion of the date. For example, the user can enter June to return all records with a June date.	E - Exact match	Date ranges can be searched numerically i.e. 7/01 - 7/31
N26	Search across event types	The system provides the ability to search records irrespective of event type for authorized users.	F - Future	We anticipate this functionality being available in 2021.
N27	Probabilistic matches	All searches have the option for probabilistic matching.	N- Cannot Meet	
N28	Threshold for possible match	The system contains the ability to define thresholds for what is considered an exact, probable, possible match or non-match when using probabilistic matching.	N- Cannot Meet	
N29	Show percent match against criteria	The system indicates the degree to which each record is a potential match.	N- Cannot Meet	
N30	Most likely match displays first	The list of possible matches is in the order of the mostly likely match first.	N- Cannot Meet	
N31	Rules on records returned	Rules can be configured to define a reasonable result set from a search.	N- Cannot Meet	
N32	Too many records	Rules can be established to prompt the user if more than a specified number of records match the search criteria	N- Cannot Meet	
N33	Too much time	Rules can be established to prompt a user if the search is expected to take more than a specified amount of time.	N- Cannot Meet	

Rule No.	Name	Description	Vendor Response	Comments
N34	User options on search	The user can respond to "too many records" or "too much time" by either canceling the search request or proceeding with the request.	N- Cannot Meet	
N35	Minimum set of fields to conduct searches	For specific role/profiles, the system requires a minimum set of fields defined by State to conduct a search.	E - Exact match	This is used if the outside agencies want to search for a record. We would require them to have the dob and first and last name fields
N36	Search considers record status	Depending on the nature of the search request, the status of the record may be part of the selection criteria. (For example, the search could include or exclude records that are "pending," records that have been marked "complete," and/or "registered" records or voids.)	E - Exact match	
N37	Record list	When a list of records is displayed, the status of the record also appears on the list.	W - Workflow or System Configuration Required	This is configurable what fields appear on the search results screen and in what order they appear.
N38	Display message if no match is found	When appropriate, the system displays a message indicating that the search is complete and no matches were found.	E - Exact match	
N39	Format of list	The results of the search are returned in a list that can include State-defined fields.	E - Exact match	
N40	Sort Search Results	The user is able to sort the results of a search into different orders by clicking on the column headings.	E - Exact match	
N41	Cancel query	The system allows the user to cancel a search request.	N- Cannot Meet	Once the search is started, the SQL server has control and cannot be cancelled. But only a certain number will be returned because of the
N42	Previous parameters	The system returns the previous parameters upon completing a search.	E - Exact match	
N43	Display Record Status	When a search list is displayed, the status of the record displays on the list.	W - Workflow or System Configuration Required	Depending on the configuration of the search screen.
N44	Search again	Once the search is complete and the results are displayed, the system provides the user with an option to search again.	E - Exact match	
N45	Restricted search	The search capability is restricted by role/profiles.	E - Exact match	Certain users can use wildcards and others not.
O - Queues				
O1	Multiple queues	The system includes multiple queues, each with a unique purpose.	E - Exact match	
O2	Event queues	Queues may be specific to an event.	E - Exact match	
O3	Display queue count at logon	The system displays a count of the number of records for each of the queues assigned to the user. (For example: When an authorized user accesses the "pending" queue, the system displays the number of records in that queue.)	E - Exact match	
O4	Queues may be by function.	Multiple authorized users may access the same queue simultaneously without being locked out. For example, the "submit for registration with exceptions" queue can be accessed by all registration users for that event.	E - Exact match	
O5	Update dynamically	Queues are updated dynamically as transactions are completed so that users do not have to refresh, logon or take any other action to update a queue.	N- Cannot Meet	A Queue is a search shortcut and therefore the user has to click on the workqueue or hit the search button again to refresh the list.
O6	Records move from queue to queue	As records are processed through the system they are moved automatically from queue to queue.	E - Exact match	
O7	Temporary Queues	Temporary queues can be created for QA/training. (For example, if a new State user is hired, their work may need to be reviewed prior to writing it to the database for a training period of time.)	W - Workflow or System Configuration Required	They are easily created.
O8	Sorting queues State-defined	The system allows the user to sort the contents of any queue by State-defined fields.	E - Exact match	
O9	Old on top	Queues can be sorted by oldest record first with a flag for those older than a State-defined timeframe.	E - Exact match	
O10	New on top	Queues can be sorted by newest record first.	E - Exact match	
O11	Queues can be filtered	Authorized users can enter specific values what will be used to filter the contents of a queue.	E - Exact match	
O12	Filter any column	Filtering can apply to any column within the queue list.	W - Workflow or System Configuration Required	Filtering means the user can add additional values to the search with typing them in or choosing them from a dropdown. Also wildcards

Rule No.	Name	Description	Vendor Response	Comments
O13	Ability to print queues	The system allows the user to print a list corresponding to the contents of any queue.	W - Workflow or System Configuration Required	The user can save a csv from the search results to have all of them. Then can Print the screen but it will not have all the contents.
O14	Monitor queues	Supervisors are able to display statistics about the number of records in each queue and length of time records have been in the queues to monitor workload.	W - Workflow or System Configuration Required	Reporting is available for tracking dates that actions in the system are taken. For example a report could be run that would show the
O15	Highlight aging records	Records approaching or past the State-defined time limit for that queue are highlighted.	N- Cannot Meet	
O16	Access to Queues	Access to user queues are based on user profiles.	E - Exact match	
O17	POS fully integrated	The point of sale module is fully integrated with all events so that once a pending request can be filled the system automatically sends it to the "ready to issue" queue.	E - Exact match	
P - Local and State File Numbers and Registration				
P1	Legacy SFN	State file numbers (SFN) for legacy records are contained in the legacy record and are carried over into the system database.	E - Exact match	
P2	SFN assigned by system	The SFN for a system record is automatically assigned by the system when the record is submitted/registered.	E - Exact match	
P3	Local number assigned by system	The local file number is also assigned to the record automatically by the system when the record is submitted/registered.	E - Exact match	
P4	SFN format	The SFN is comprised of the event type, year of event, and a sequence number that is stored in the system.	W - Workflow or System Configuration Required	The SFN is composed of a four digit year, a special registration type, and a sequence number. 2019D00001
P5	SFN for Certificate of Foreign Birth	Certificates of Foreign Birth are assigned a new State File Number with "FB" prefix and a State defined special number.	W - Workflow or System Configuration Required	Example: 2019F80001 - The F signifies a Foreign Born. The sequence can start at a higher number than normal if wanted.
P6	Local number format	The format of the jurisdictional number is Jurisdiction+yyyy+sequence number.	E - Exact match	
P7	Record registration confirmation	The State can designate that an event type can be automatically registered without user intervention.	E - Exact match	
P8	Register immediately	Records submitted for registration with no demographic exceptions are immediately registered.	E - Exact match	
P9	Medical exceptions	If records that are registered immediately have medical exceptions they are added to a queue for post-registration review.	W - Workflow or System Configuration Required	Different queues can be set up to manage this process.
P10	Demographic exceptions	Records submitted with demographic exceptions go to a queue based on the nature of the exception for post registration review.	W - Workflow or System Configuration Required	There can be flags that are set depending on the nature of the exception which makes the record fall into different queues.
P11	Auto-register configurable	The auto registering feature can be configured to be on or off by an authorized user.	W - Workflow or System Configuration Required	The authorized user's profile would drive this ability.
P12	Auto-register configuration controls queue	When the auto registering feature is turned off, the auto registering is disabled and the records go to the appropriate queue specified for reviewing that type of record.	W - Workflow or System Configuration Required	
P13	Register one at a time	If the auto-registering feature is turned off, an authorized user can register records one at a time from a queue.	E - Exact match	
P14	Register all from a queue	Alternatively, an authorized user can decide, for this time only, to register all the records in the queue even if the exceptions remain.	W - Workflow or System Configuration Required	This would be our batch number facility to register all records that matched a criteria. That criteria would match the criteria for the
P15	Decision to register all is part of the program	The ability for an authorized user to register records as a group from a queue on demand is part of the registration program that does not require a separate configuration step.	W - Workflow or System Configuration Required	The Batch Number utility would be configured once by Netsmart and to use, the user would choose a menu option, select the criteria to choose the records and hit a button to number them.
P16	Jurisdiction has sequence number	Each Jurisdiction has their own sequence number for each event stored in the system.	E - Exact match	
P17	Event type doesn't print	When printing the SFN on certificates or other documents, the event type does not print as part of the SFN.	E - Exact match	
P18	Stored sequence numbers	There is one stored SFN sequence number for each event type.	E - Exact match	
P19	Increment sequence number	The sequence number is increased by one every time a SFN is assigned.	E - Exact match	
P20	Delayed sequence numbers	Delayed records for birth and death are assigned the next SFN in the sequence for the year that the event occurred.	E - Exact match	
P21	SFN resets to one	All sequence numbers starts at 000001 at the beginning of every new data year.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
P22	Mass disaster sequence number augmentation	To accommodate a mass disaster, the system can increase the size of the six-digit sequence number that is part of the State File Number to allow for more than one million deaths in a single year.	E - Exact match	Easily done on the Customer Preferences screen where we have the LENGTH of the SFN. In this case it would be 12.
P23	Display all digits of mass disaster sequence augmentation	If the sequence number that is part of the State File Number is increased from six digits, all digits display and print in all relevant places.	E - Exact match	
P24	Seamless effect on previous records	If the sequence number that is part of the State File Number is increased from six digits, the change has a seamless effect on all previous registered death records.	W - Workflow or System Configuration Required	This typically would not change a 1981 death record whose state file number is 1981000001. That number would still be entered into the
Q - Record Branding				
Q1	Record branding	New and changed records are branded with the date, time, institution, user ID and the action performed on the record.	W - Workflow or System Configuration Required	
Q2	Store user ID who registered record	The record includes information to identify the user who registered the record.	E - Exact match	
Q3	Identity for auto registration	If the record was automatically registered by the system, the record would include a designation for "auto-registered" instead of a specific user identification.	W - Workflow or System Configuration Required	
Q4	Database - maintain record	The record branding data is maintained for the life of the record.	W - Workflow or System Configuration Required	
R -Messaging through the System				
R1	System messages	Standard messages can be automatically created and sent by the system notifying a user to take a specific action.	W - Workflow or System Configuration Required	These messages are usually with regards to an event record.
R2	Informational messages	Messages can be informational only.	E - Exact match	
R3	Distinguish types of messages	The system makes it easy for the user to distinguish action items from information only messages.	W - Workflow or System Configuration Required	
R4	Wording of messages	Wording of standard messages can be changed by the State Configuration Manager.	E - Exact match	
R5	Message a person	The system directs automatic messages to specific individuals based on the function, for example the medical certifier when s/he is selected by the funeral home to certify a death.	E - Exact match	
R6	Message a group	The system messaging function allows the system to generate messages and automatically direct them to a group of users.	W - Workflow or System Configuration Required	This is normally the broadcast message capability. But any message/email can be directed to a group of users. These groups
R7	More than one recipient	A message can be directed to more than one recipient even if they are not all part of the same group.	W - Workflow or System Configuration Required	Additional recipients can be chosen for a message/email.
R8	Broadcast all	The system supports broadcast messages sent from an authorized user to all users.	E - Exact match	
R9	Broadcast some	The system supports broadcast messages sent from an authorized user to sub-set of users.	E - Exact match	
R10	Messages have a timeframe	Broadcast messages can be associated with a begin and end date.	F - Future	We anticipate this functionality being available in 2020.
R11	Distribute messages	Broadcast messages can be set to be distributed at specific times.	F - Future	We anticipate this functionality being available in 2020.
R12	Clear messages	Messages can easily be cleared when the recipient is finished with them.	E - Exact match	
R13	Expiration dates	Informational messages have an expiration date, and are not displayed to users after the expiration date.	F - Future	We anticipate this functionality being available in 2020.
R14	User can define message	The content of informational messages can be determined by authorized users at the time the message is sent.	W - Workflow or System Configuration Required	
R15	Action messages	Messages can direct the recipient to perform an action within system.	E - Exact match	The broadcast and other messages can say anything.
R16	System generates pop-up message	In addition to the actual messages, the screen includes the number of records that need attention.	W - Workflow or System Configuration Required	The message would point the user to a workqueue. Workqueues have the number of records to that need attention.
R17	Alert	The system has a visible alert which notifies users that an important communication has been sent to them.	E - Exact match	The bottom of the screen has the number of unread messages.
R18	Notification of Non-Activity	The system sends a reminder message to the record owner(s) when a record has not been completed within the designated time frame.	W - Workflow or System Configuration Required	This is using our Reminder letter/email capability to remind the user about the notice we sent them before.

Rule No.	Name	Description	Vendor Response	Comments
R19	Reminders	The system provides functionality to automatically generate timely reminders to individuals to complete outstanding records.	W - Workflow or System Configuration Required	This is using our Reminder letter/email capability to reminde the user about the notice we sent them before.
R20	Timing of reminders State defined	The time when reminders are generated is State-defined.	W - Workflow or System Configuration Required	These reminders are usually scheduled and have a reminder number of days to wait before reminding them again.
R21	Timing of reminders State defined	The time when reminders are generated may be different between different types of events, (birth, death, fetal death, etc.).	W - Workflow or System Configuration Required	There would be a reminder letter specific to different events.
R22	Store message read indicator	The system stores the fact that the message was read.	W - Workflow or System Configuration Required	If it was an email, then no. If it was a message, then yes.
R23	Unread messages	If a message related to an action item is not read within a State-defined period of time, a message is automatically sent to the appropriate user for follow-up.	N- Cannot Meet	
R24	Hyperlink	Messages that pertain to a specific record in the system contain a hyperlink that goes directly to the record in question.	W - Workflow or System Configuration Required	The user displays the message and then LINKS to the event record from the menu.
S -Messaging by Email				
S1	Automated email alternative	The system is able to send email messages to system users directly from system.	E - Exact match	
S2	System does not receive emails	The email address used by the system to send an email does not receive replies.	E - Exact match	
S3	Include private email address for replies	Outgoing system emails that request a reply provide the recipient with a valid email address.	W - Workflow or System Configuration Required	
S4	Individual email	System emails can be directed to a specific user.	E - Exact match	
S5	Group email	System emails can be directed to a group of users based on role/profile.	N- Cannot Meet	
S6	More than one email recipient	An email can be directed to more than one recipient even if they are not all part of the same group.	E - Exact match	
S7	System emails	The system can generate emails automatically.	E - Exact match	This happens in the birth and death system for a number of reasons.
S8	User emails	Authorized users can generate emails.	E - Exact match	
S9	Select message preference	A user is associated with a preferred method of communication (system message, email or both).	E - Exact match	The user file has this capability.
S10	Use preferred method	The system uses the messaging delivery preference to determine if a system message, email message or both should be sent.	E - Exact match	
S11	Override preference	An authorized user can override the message delivery preference on demand.	W - Workflow or System Configuration Required	The user can change their own delivery preference.
S12	Include attachment	Analytical reports by user can be emailed as an attachment directly through the system.	E - Exact match	The user can choose an email from the list or type in a new one for that report to be emailed.
S13	Scheduled emails	Email messages can be set to occur on a schedule that in synchronized with the schedule to run reports in such a was as to have the report immediately emailed to the appropriate recipients once the report is run.	W - Workflow or System Configuration Required	A scheduled report can be set up to email the results. This uses a email as a parameter for the report.
T-Electronic Signature and E-notary				
T1	Signature image	The system allows storage of a signature image file (e.g., .jpg) for use in printing letters and certified copies.	E - Exact match	
T2	User signature image	Any user may have a single signature image attached to their individual user account.	W - Workflow or System Configuration Required	Very simple to add a signature field to a user profile.
T3	Authority to sign	The authority to "sign" specific documents or otherwise give approval is associated with the user's role/profile.	E - Exact match	
T4	Access only records with permission to sign	Secure screens and/or processes allow the user to access only the records that he/she has permission to sign.	W - Workflow or System Configuration Required	
T5	Confirm authentication at signing	The authentication process is augmented by displaying a confirmation message at the time of signing. An example of an acceptable message is: "By signing this information, I affirm under the penalty of perjury that I am the authorized (role) whose name will appear on this certificate".	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
T6	Confirm records not requiring signing	A similar confirmation message to that sent at the time of signing is sent when records that do not require signing (such as birth records) are sent to the State for registration.	W - Workflow or System Configuration Required	
T7	PIN to sign	Users authorized to sign enter a PIN to finalize the process.	E - Exact match	
T8	Unsign to change	Once signed, the data cannot be changed except by that person before the record is filed unless the signing person unsigns the record.	E - Exact match	
T9	Re-signing	If a record has been unsigned to make a change, once the change is made, the authentication information is updated with the new signing person's identity and the timestamp for the new authentication action.	W - Workflow or System Configuration Required	This is standard practice depending on the event and the states business rules.
T10	Record signing actions in history	All signing, unsigning and resigning actions are recorded in history.	E - Exact match	Those fields can be audited to ensure this is captured.
T11	E-notarize online	EVRS includes the ability for authorized hospital or jurisdictional staff to notarize a paternity form without printing to paper first.	W - Workflow or System Configuration Required	This is on the screen and the form.
T12	Other forms	Other forms requiring notarization can be added in the future.	E - Exact match	
T13	Notary valid	The system ensures that the notary is legitimate (currently practicing as a notary) before allowing the notarization.	M - Modify	
T14	Ensure integrity of additions	E-notarization is done is such a manner as to ensure that each entry is stored sequentially to prevent new entries from slipping in between two previous entries.	M - Modify	
T15	Prevent deletions	E-notarization is done is such a manner as to ensure that entries cannot be deleted.	M - Modify	
T16	Signatures encrypted	Signatures are encrypted to the record's content, for example to items such as names, dates, ID types and document copy.	M - Modify	
T17	Signatures raw pen	Signatures are captured as raw pen events free from any bitmap or jpeg images that could be stolen.	M - Modify	
T18	Check deficiencies	The system checks for deficiencies (omission of notary's signature or seal, illegibility, omission of dates, signatures or names or misspellings of names).	M - Modify	
T19	Method to test	The system includes tamper-evident technology designed to allow a person inspecting an electronic record to determine whether there has been any tampering with the integrity of the certificate or documents logically associated with the record.	M - Modify	
T20	E-Notary Option	The e-notary option may be turned on or off.	E - Exact match	Once E-Notary is included in our application, turning it on and off is easy with our security setup.
T21	E-Notary Option by Jurisdiction	The e-notary option may be turned on or off by jurisdiction.	E - Exact match	
T22	Off at Go Live	The e-notary option will be turned off by default at Go Live.	E - Exact match	
U-Logging				
U1	Event Tracking as an Audit Trail	The system provides logs documenting significant user activities.	E - Exact match	
U2	Logs are State-defined	The determination of the activities that are deemed significant is State-defined.	W - Workflow or System Configuration Required	The standard activities can be augmented by the states requirements. These will typically be event driven activities that can
U3	Audit log specifically for logon	The log function includes activities associated with logon (valid log-in by time and user, invalid login attempt, lockouts and reinstatements).	W - Workflow or System Configuration Required	These will be in the audit table and the audit log table.
U4	Log views	The log function includes the ability to log record access even if no action was taken.	E - Exact match	Displays are logged and so are searches.
U5	Content State-defined	The content of all logs is State-defined.	M - Modify	Additional log fields would have to be added to the core system. The log contents are adequate for most instances that we have
U6	Data specifications	Log entries are branded with date, time, record number, institution and user ID in addition to the State-defined data.	M - Modify	
U7	Archive system logs	System logs can be archived based on State-defined parameters.	N- Cannot Meet	We do not archive records.
U8	Archiving logs set by role/profile	The function to archive log files is restricted by user role/profile.	N- Cannot Meet	
U9	History of institution changes	The system keeps a history of institution additions, deletions, and changes.	F - Future	We anticipate this functionality being available in 2019.

Rule No.	Name	Description	Vendor Response	Comments
U10	Reporting for an event	The system provides the capability to create reports from a log on any type of event.	E - Exact match	
U11	Reporting for a time period	The system provides the capability to create reports from a log of all events for a specific time period.	E - Exact match	
U12	Reporting for an event record	The system provides the capability to create reports from a log of all events related to a certain record.	E - Exact match	
U13	Reporting for users	The system provides the capability to create reports from a log of all activities of a user.	E - Exact match	
U14	Reporting by group of users	The system provides the capability to create reports from a log of all activities of a group of users.	E - Exact match	
U15	Log on/off	The system has ability to turn off audit logging for specific events, by log type.	W - Workflow or System Configuration Required	The event logging is dependent on the fields chosen to be AUDITED from the Gui Screen Designer. The state chooses which fields
V -Event History and Request History				
V1	Record history	The system maintains history of all changes to a registered record, such that at any time in the future, the information for the record can be retrieved and displayed accurately as of a point in time.	W - Workflow or System Configuration Required	This is a user setting in the Change Reqeust system and in the Correction/modification system. The changes from both of these systems can SEAL the current record and make a new one. Thus
V2	View history	Authorized users have the option to view the history of changes made to a records directly from the event record.	W - Workflow or System Configuration Required	That event record is linked to all of the previous sealed records. An authorized user can see those sealed record. In addition, if the fields
V3	Contents of history log	The contents of the history log includes the initiating user, date started, date changed, user making the change, original value(s), and new value(s).	W - Workflow or System Configuration Required	This information is contained in the audit log for field changes that are audited.
V4	Track voids	The system maintains a history of all voided records.	W - Workflow or System Configuration Required	If a record was voided through the change/modify system, then each void can be sealed and the void flag updated on the new record.
V5	Track requests	The system maintains a history of all activities related to requests by form type, including the number of times a document is printed, the number of copies printed, when printed and who ordered, and certificate numbers used.	E - Exact match	This information is contained in the DOCUMENT TRACKING table.
V6	Track requests by event record	The system provides the capability for an authorized user to view all requests, filled and open, on a particular record.	E - Exact match	
V7	Track requests by requestor	The system provides the capability for an authorized user to view all requests made by a particular requestor.	E - Exact match	
V8	Track requests by user	The system provides the capability to view all requests processed by a specific user.	W - Workflow or System Configuration Required	We can add that processed by user field to the search screen easily.
V9	Track certificates produced	The system provides the capability for an authorized user to view all certificates produced for a particular record.	E - Exact match	
W - Archiving				
W1	Archiving	The system provides the ability to selectively archive records based on State-defined parameters.	N- Cannot Meet	
W2	Archiving optional	Whether to turn on or off archiving for a particular dataset is configurable by the State.	N- Cannot Meet	
W3	Archiving rules different by data type	Archiving rules can be different for different types of data.	N- Cannot Meet	
W4	Retrieval of archived information	The system provides easy access to archived information in a format that can be displayed or analyzed in a similar manner as before it was archived.	N- Cannot Meet	
W5	Reinstate archived information	Authorized users can retrieve and reinstate archived records for processing.	N- Cannot Meet	
X - Printed Reports				
X1	Ad hoc reports	The system includes an ad hoc reporting tool for authorized users to create reports.	E - Exact match	
X2	Report access	Users are able to access standard and ad hoc reports from a standard location, either from a Reports menu or by functional grouping or both.	W - Workflow or System Configuration Required	The users can run the standard reports from the batch reports menu. The ad-hoc reports would be run from the Report Builder Tool which
X3	Modifiable	All reports (standard and ad hoc) can be easily modified by the State.	E - Exact match	
X4	On-line processing vs. batch and ad-hoc reporting	Ad-hoc and batch reporting do not impact the performance of on-line processing.	E - Exact match	
X5	Report Format Standards	Reports provided by the vendor have a common format such as standardized headers, footers, and date and page designations.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
X6	Report filtering criteria	At the time the report is run, filters allow users to select the records to include in the specific report.	E - Exact match	
X7	Filter criteria State defined	The filter criteria for all reports (standard or ad hoc) can be maintained by the State Configuration Manager.	E - Exact match	
X8	Report sorting criteria	At the time the report is run, the authorized users can select the order in which the report is sorted.	N- Cannot Meet	We do not have the ability to have the sort as a parameter. But multiple reports can be easily created for each main sorting option.
X9	Sort criteria State defined	The sort criteria on all reports (standard and ad hoc) can be maintained by the State Configuration Manager.	E - Exact match	The sort criteria is inside the report and can be changed by the configuration manager with the Report Builder Utility tool.
X10	Print to file	All reports (standard and ad hoc) can be printed to an electronic file in Excel format, PDF, text format or other format provided in the system, with the user able to select the output type.	E - Exact match	
X11	PDF not default	PDF is an optional report output type; however, it is not the default.	W - Workflow or System Configuration Required	This option can be set.
X12	Report output options	A provision for online previewing of a report before printing is included.	E - Exact match	
X13	Watermark	The system is capable of printing "watermark" designations such as "information only", "not a legal copy" , etc.	E - Exact match	
X14	Watermarks state defined	The use of watermarks is state-defined and can be changed by the state configuration manager.	E - Exact match	
X15	Default printer	Each report is routed to a default printer based on the combination of user location and the report.	W - Workflow or System Configuration Required	The documents are routed automatically but the Batch....Reports have a dialog box to choose the printer.
X16	Multiple printers	The system can automatically direct different types of outputs to different printers from the same workstation.	E - Exact match	Yes this is the way the documents use the various safety paper or plain paper in the office.
X17	Direct output to non-default printer	The system provides the user with the ability to direct a specific output to a specific printer that is not the default printer.	E - Exact match	
X18	Printers allow for multiple users	The system accommodates the use of a single printer by several users at once.	E - Exact match	
X19	Multiple trays	Printing of multiple types of special forms can be directed to the same printer by using different trays.	E - Exact match	
X20	All documents are printed together	All printed outputs for a specified user and transaction are packaged together and sent as a unit to the printer so that all outputs print together without interleaving documents from other users.	E - Exact match	Each output job from the report, will be printed together. So a 10 page report will come out together.
X21	Change number of copies	The user can alter the number of copies for a report at the time of printing.	E - Exact match	
X22	Schedule reports	Printed outputs can be set to run unattended on a schedule.	E - Exact match	
X23	Email documents	The system provides the ability to automatically email State-defined output documents directly from the system to a designated recipient on a reoccurring basis without the need to purchase third party software.	E - Exact match	
X24	Print case options	The system provides the option to print in "mixed" case (e.g. MacDonald) or all upper case when data is entered in mixed case.	W - Workflow or System Configuration Required	The report output for each field can be converted to UPPER at the time of printing if desired.
X25	Window envelope	Documents that are to be mailed are formatted in such a manner so as to display the address in a window envelope.	E - Exact match	
X26	Clone an output to make a new output	The system provides authorized users with an easy way to create new reports by cloning existing reports.	E - Exact match	
X27	State can create new outputs	The system provides authorized users with a program to create new standard reports.	E - Exact match	This is the Report Builder tool that creates new report/documents and allows the system configuration user to change any document or
X28	Retain custom reports	Reports modified or created by the State are not overwritten on subsequent software upgrades.	E - Exact match	The state must update our Master Copy with any report changes after they have tested them out. Our master copy is used to provide
X29	State can add new reports to menus	The State can add reports that were created by the State to menus.	E - Exact match	The master copy is updated by the state and by Netsmart with any new reports or configuration changes.
X30	Control of State created reports	Access to all reports is based on user role/profiles.	E - Exact match	
X31	Protect access to records	Users of the reporting function are prevented from including records for which they do not have authority.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
X32	Simple math	The report writer includes the capability to do simple math such as adding a column or counting the number of entries in a column.	E - Exact match	
X33	Print all parents	The system accommodates printing of all parents listed on a certificate with the appropriate parent labels for that certificate and including parents' places of birth.	W - Workflow or System Configuration Required	Mother/Mother and Parent/Parent or any other designation can be chosen in the event record and used in the output of the certificate.
X34	Print parent names separately	Each parent name is printed separately and includes the full name.	E - Exact match	
X35	Format configurable	The format for printing the certificate is configurable by the State.	E - Exact match	
X36	Situational redaction for certificate	A user based on role/profile can redact any field on a certificate so that the field does not print.	E - Exact match	A certificate type document can have an EDIT option on it. This will allow the operator to redact (draw a black rectangle) any item on the
X37	Redaction on certificate universal	If a user redacts a field on a certificate, the redaction applies to that field or fields for all the certificates that print as part of that print job.	W - Workflow or System Configuration Required	The redaction is only for that document and does not transfer to other jobs or documents the user is printing. Neither does it work for bulk
X38	Situational redaction for reports	A user based on role/profile can redact any field on a report so that the field does not print.	N- Cannot Meet	
X39	Redaction in report universal	If a user redacts a field on a report, the redaction applies to that field or fields for all the records that print as part of the report.	W - Workflow or System Configuration Required	If the redaction was governed by a table or some other mechanism. The redaction on a DOCUMENT is different then on a report.
X40	Redaction applies once	Redacting a field in one instance does not affect future instances of printing the certificate or report.	E - Exact match	
X41	COD printing controlled	Whether the COD prints on a report is controlled by role/profile	W - Workflow or System Configuration Required	In this case, two print jobs would be used. Then they can be controlled by role/profile to run the one with COD or the one Without
X42	Totals and subtotals	The report writer allows the State to create reports with sub-totals and totals.	E - Exact match	
Y - Letters and Forms				
Y1	Templates	Multiple letter templates can be State-configured.	E - Exact match	
Y2	Forms	Multiple form templates can be State-configured.	E - Exact match	
Y3	Fillable labels	Any forms that has traditionally referenced roles such as mother/father have instead fillable labels where the customer can select a role from a list of options	W - Workflow or System Configuration Required	This is specified for each document where this needs to occur. This is easy to accomplish but has not been done on ALL such forms at
Y4	Gender specified	For each role that is selected from a list of options, the form includes collection of gender.	E - Exact match	
Y5	Name before first marriage	Name before first marriage is captured for both parties to a marriage for birth and death.	E - Exact match	This is typical the way the states collect data and we have done it that way for our state customers if specified.
Y6	Screens match forms	The system screens include the roles and gender (and name prior to first marriage, when appropriate) that were selected by the customer.	E - Exact match	
Y7	Modify certificate	Certificate forms (e.g. birth cert or death cert) can be modified by the state configuration manager.	E - Exact match	
Y8	Modify forms	Forms (e.g., burial removal transit permits or parent worksheets) can be modified by the state configuration manager.	E - Exact match	
Y9	Modify letters	Letters (e.g., denying eligibly for a request or requesting additional information) can be modified by the state configuration manager.	E - Exact match	
Y10	Externalize reference to specific names	Information that appears on forms or letters to identify specific individuals such as the Governor, State Registrar or Department Head are stored in tables so that, when the person in the position changes and the table is updated, all forms or letters referencing that position automatically change.	E - Exact match	
Y11	Table of signatures	Signatures of individuals signing forms are stored in a table that is maintained by the state.	E - Exact match	
Y12	Letterhead stored	The letterhead for the state and each jurisdiction is stored in a table within the system.	E - Exact match	
Y13	Letterhead varies	The letterhead applied to a form or letter is specific to the state or jurisdiction printing the document.	E - Exact match	
Y14	Signature varies	The signature applied to a form or letter is specific to the jurisdiction printing the document.	E - Exact match	
Y15	No signature possible	When certificates are printed at the State the signature is blank so that a stamp can be applied manually.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
Y16	Change state signature rule	The State system administrator can change the configuration of the EVRS in the future to apply the signature to State printed certificates through the system.	E - Exact match	
Y17	Templates available during processing	The system provides an easy way for authorized users to access the letters or forms that are relevant to the specific function being performed.	E - Exact match	
Y18	Template auto-populated	Letter templates and forms can be auto-populated with data from the system prior to printing.	E - Exact match	
Y19	Blank forms	Blank forms can be printed by authorized users.	E - Exact match	
Y20	Send by other means	Letters generated through the system can be distributed via means other than postal mail (e.g. system messaging, email)	W - Workflow or System Configuration Required	Single letters can be emailed manually or automatically if the email is in the record.
Y21	Store letter and other correspondence	Letters and other correspondence are stored with the relevant record so that the exact output can be retrieved even if it contains custom language.	E - Exact match	This copy is stored in the Document tracking system.
Y22	Document history icon	As soon as the system stores the first document for a record, whether it is a letter, form or a certified copy, the system sets an alert so that an authorized user knows there are documents attached to the record whenever it is accessed.	W - Workflow or System Configuration Required	This can be easily added.
Y23	Add custom text to letters	The system allows an authorized user to modify or add to the content of any letter using system functions, prior to printing or sending letter.	E - Exact match	
Y24	Checklist of "custom" response	The system allows users to set up a standard checklist of "custom" response language that can be optionally selected to add to a letter.	E - Exact match	
Y25	Envelopes and Labels	Envelopes and labels can be generated with customer mailing addresses for sending items to customers.	E - Exact match	
Y26	Merge data elements into document	The system pulls data from the database and merges the data elements into the appropriate document template prior to printing.	E - Exact match	
Y27	Most recent certified copy format applies	Regardless of the version of certificate effective at the time the record was created, all certified copies will print in the same format (the most recent one adopted by the State).	E - Exact match	
Y28	Envelopes for sealing files	Envelope labels can be printed with information regarding the sealing of a document.	E - Exact match	
Y29	Batch print option for documents	The user can print letters, forms or labels as a group.	W - Workflow or System Configuration Required	Multiple documents can be linked together with one document after another document
Y30	On demand print option for documents	The user can print a letter, form and/or labels on demand.	E - Exact match	
Y31	Reprint option for documents	The user can reprint a letter, form or label.	E - Exact match	
Y32	History of Documents Printed	The system maintains a history of all documents printed.	E - Exact match	
Y33	Prevent saving a form to a file	The system prevents any EVRS user from saving the contents of the screen to an unauthorized location.	N- Cannot Meet	With the OS, the user can do a print screen that they can save anywhere. It is not a function of our system.
Y34	Print Button Security	The EVRS application prevents a user who has displayed a record on the screen from using the print screen button to create printed output, unless specifically authorized.	N- Cannot Meet	We have no ability to stop the print screen button
Z - Performance Measurements				
Z1	Track and report on errors found during edit	The specific errors occurring on records submitted for registration are saved for analysis.	W - Workflow or System Configuration Required	The QeryOver table houses the errors in records. The records are usually deleted when the error is fixed. There is a switch to KEEP
Z2	Unknown response	The use of "other" and "unknown" or Reponses with similar meaning are saved for analysis.	W - Workflow or System Configuration Required	The other responses are not saved but the Unknown are saved in the QeryOver table.
Z3	Track corrections and amendments	The system allows corrections and amendments to be analyzed.	E - Exact match	
Z4	Track queries	The system saves query history for analysis.	E - Exact match	The messages are saved if the user has those as an option in addition to email. Also the audit log keeps the query information for
Z5	Track timeliness	The system tracks timeliness of transactions by storing the time from initiating to completion in detail by each handoff from one authorized user to another in such a manner as to analyze both the overall time of the process and the time attributed to each user in the process.	W - Workflow or System Configuration Required	The audit table contains time in case timeliness is needed between record states.

Rule No.	Name	Description	Vendor Response	Comments
Z6	Time to submit to SSA	The system tracks the time between initiation of the event and first submission to SSA.	W - Workflow or System Configuration Required	These values are captured and used for analysis.
Z7	Time to submit to NCHS	The system tracks the time between initiation of the event and first submission to NCHS.	W - Workflow or System Configuration Required	The date as far as time can be used. The record is updated for the date sent to NCHS. Unsure if time is available for that field.
Z8	Track and report on late registrations	The system maintains statistics on late registrations by owner and institution.	W - Workflow or System Configuration Required	Fields can be added if needed.
Z9	Track and report total time to register	The system stores the total time between initiation of an event record and registration of the record.	W - Workflow or System Configuration Required	Fields can be added if needed.
Z10	Track and report time in problem status	The system stores the length of time a record remained in a problem queue before resolution.	N- Cannot Meet	The length in a queue is not kept in the system.
Z11	Analyze by user	Analysis can be over a specified time for a specific user.	W - Workflow or System Configuration Required	The fields that are needed for Analysis can be added to the system to make this available.
Z12	Analyze by group	Analysis can be over a specified time for a group of users by role/profile.	W - Workflow or System Configuration Required	
Z13	Analyze by institution	Analysis can be over a specified time for an institution.	W - Workflow or System Configuration Required	
Z14	Analyze by error type	Analysis can be over specified time for a type of error.	W - Workflow or System Configuration Required	
Z15	Analyze by activity	Analysis can be over specified time for a specific activity (for example, death registration).	W - Workflow or System Configuration Required	
Z16	Event measures	The system tracks the volume of work over time by type of event, user and institution.	W - Workflow or System Configuration Required	
Z17	Amendment measures	The system tracks the volume of work over time by each amendment type (adoptions, legitimations, paternities, etc.), user and institution.	W - Workflow or System Configuration Required	
AA- Interfaces and Integration				
AA1	Check licenses at logon	The system interfaces with the Professional Licensure database at logon to make sure that Funeral Directors, physicians, certified nurses and midwifes are still active in the licensing database.	W - Workflow or System Configuration Required	The Netsmart system can interface once the requirements and particulars for that interface are known.
AA2	Check institutions at assignment	The system interfaces with the professional licensing database when a funeral director is being assigned to a funeral home to check that funeral directors is licensed for that facility.	W - Workflow or System Configuration Required	The Netsmart system can interface once the requirements and particulars for that interface are known.
AA3	Check institutions at logon	The system interfaces with the professional licensing database at logon to check that a funeral director is still affiliated with the funeral home they are trying to access.	W - Workflow or System Configuration Required	The Netsmart system can interface once the requirements and particulars for that interface are known.
AA4	Deny access	If a funeral director is not affiliated with the funeral home in the professional licensing database access to records for that funeral home will be denied.	W - Workflow or System Configuration Required	
AA5	OVS 2	Online verification of SSN meets all the specifications as prescribed by SSA in OVS 2.	E - Exact match	
AA6	Fact of Death Reporting	24-hour Fact of Death Reporting (DFSTATE) meets all the specifications as prescribed by SSA.	E - Exact match	
AA7	VIEWS II Interface	The system includes an interface with VIEWS II that meets all the specifications as prescribed by NCHS.	E - Exact match	
AA8	EVVE Interface	The system includes an interface with EVVE that meets all the specifications as prescribed by NAPHSIS.	E - Exact match	
AA9	Fact of Death	The EVVE interface includes the new fact of death query.	E - Exact match	
AA10	EVVE Interface automated	The interface between the system and EVVE is automated and requires no manual intervention.	E - Exact match	
AA11	STEVE 2.0 Interface	The system includes an interface with STEVE 2.0 that meets all the specifications as prescribed by NAPHSIS.	W - Workflow or System Configuration Required	This interface has been done by our IA client.
AA12	STEVE interface automated	The interface between the system and STEVE is automated and requires no manual intervention.	W - Workflow or System Configuration Required	This interface with the thin client for Steve has been done by our IA client.
AA13	VitalChek/system interface	The system includes the ability to import VitalChek records so that they can be processed as if they were entered directly into the system.	E - Exact match	
AA14	Identify source	Requests initiated from VitalChek are identifiable from requests generated in the system.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
AA15	External Credit Card Processing	Authorized users will record external credit card payments in the system after they have been separately cleared through the State credit card processing system.	W - Workflow or System Configuration Required	Any payment type can be accommodated. The indicator/ID of the transaction with the CC processor can be added to the payment
AA16	Distinguish credit card payments	The system distinguishes by a code or other source designation between transactions paid through VitalChek and those paid by external credit card through the State credit card processing system.	W - Workflow or System Configuration Required	Designation can be made for multiple types of payments.
AA17	Court System Interface	The system includes an interface with WV court systems.	M - Modify	
AA18	Court System Interface Automated	The interface between EVRS and the court system is automated and requires no manual intervention.	M - Modify	
AA19	e-notary integration	The system is integrated with e-notary.	M - Modify	
AA20	e-notary security	The electronic signature capture hardware uses a single-point of connection direct interface to the signature tablet or pen.	M - Modify	
AA21	Email interface	The system email feature works with MS Office as well as other popular email systems.	E - Exact match	
AA22	No Plugins	Users do not require plug ins to use the email features of the system.	E - Exact match	
AA23	Email Through The EVRS	The system allows State and non-State user to send email through the system.	E - Exact match	
AA24	Geocoding	The system is fully integrated with a geocoding service so that records are coded as they are entered.	F - Future	We anticipate this functionality being available in 2019.
AA25	Integrated legacy images	Legacy images and the associated indexes are fully integrated into the system in such a way that legacy images can be accessed directly while viewing the associated record.	E - Exact match	
AA26	Integrated legacy images	Legacy images and the associated indexes are fully integrated into the system in such a way that, if desired, certified copies can be produced from the legacy image.	E - Exact match	
AA27	Source of legacy image	The system records the source of the legacy image (ancestry, Panoptic, State microfilm, Jurisdiction)	W - Workflow or System Configuration Required	
AA28	Print legacy images configure by event	Printing from legacy images is configurable by event.	E - Exact match	
AA29	Attach legacy images at implementation	Legacy images are linked to records at the time of EVRS implementation.	E - Exact match	
AA30	Attach legacy images after implementation	Batches of legacy images can be linked to records at any time after implementation.	W - Workflow or System Configuration Required	
AA31	Scanning with attachments	The system allows users to scan and attach supporting documents to an electronic record at their desktop and link it directly to the appropriate record without stopping at the desktop.	E - Exact match	
AA32	Check image	The new scanned images can be immediately viewed in the EVRS system to ensure that the image is legible, complete and appropriately positioned.	E - Exact match	
AA33	Re-scan	The system allows the ability to re-scan an image as necessary.	E - Exact match	
AA34	Easy method to view image	There is an easy way to display the attached images whenever a system record is opened.	E - Exact match	
AA35	Remove images	Images can be removed from the system by authorized users.	E - Exact match	
AA36	Move images	Images can be removed from one record and attached to the correct record by authorized users.	W - Workflow or System Configuration Required	This has not been done before but will be implemented with our system through configuration.
AA37	Display informs user that scanned documents exist	When a record is displayed that has scanned documents attached, the screen contains an alert to the user that images exist, provided the user/role has the appropriate permissions to view the alert.	E - Exact match	
AA38	Alert for Image on Amendment	During amendment processing the system provides the ability to scan one or more supporting documents and attach them to the amendment.	E - Exact match	
AA39	Scanning warning	During amendment processing the system prompts the user that documents need to be scanned before the amendment is complete.	W - Workflow or System Configuration Required	

Rule No.	Name	Description	Vendor Response	Comments
AA40	Images specific to amendment	Scanned images are specific to the amendment so as not to be mingled with scanned images from a subsequent amendment to the same record.	E - Exact match	
AA41	Image types	The system can distinguish image types (adoption documents versus medical history versus delayed birth documents, etc.)	N- Cannot Meet	Unless the user types something specific and consistent in the description, the system has no way of knowing what was scanned.
AA42	Select image types to view	Authorized users can select the type of images they would like to view.	N- Cannot Meet	The user sees all of the images they are allowed to see. They choose the one they want. The image type is not important to seeing the
AA43	Viewing images controlled	Viewing of types of Images are controlled by role/profile.	N- Cannot Meet	
AA44	Sealed record images	Images associated with sealed records are viewable only by authorized users who can see the actual sealed record.	E - Exact match	
AA45	Address Verification and Cleansing	The system interfaces in real-time with a program to standardize postal addresses so that when the address is entered it is immediately validated without the need for the user to take an action.	F - Future	We anticipate this functionality being available in 2019.
AA46	Return FIPS code	The system will receive and store the FIPS code associated with the address.	F - Future	We anticipate this functionality being available in 2019.
AA47	Override address verification software	The system provides for the possibility that the address cannot be validated by the software so that the address can be accepted as entered.	F - Future	We anticipate this functionality being available in 2019.
AA48	EHR integration	The system integrates with EHR systems through a standard process.	M - Modify	
AA49	Health Exchange	The system integrates with all WV Health Information Exchanges	M - Modify	
AA50	Populate record	The system populates the birth record with information from the EHR or health exchange based on configurable rules.	M - Modify	
AA51	Interoperability	The system includes features that support interoperability between the system and other relevant health related systems.	M - Modify	
AA52	Web Services	The system integrates with any other application via SOAP, REST, etc.	E - Exact match	
AA53	Web Services	The system allows the State to create any additional web services needed to support integrations with external systems.	E - Exact match	
AA54	Standard messaging	The system uses standard messaging formats that are compatible with NAPHSIS, NCHS and the HIE requirements (HL7 or other approved standards).	W - Workflow or System Configuration Required	
AA55	Standard vocabulary	Data interchange uses standard vocabulary.	W - Workflow or System Configuration Required	
AA56	Interchange standards	The system provides the ability to use interchange standards for exchange of data with another health system.	W - Workflow or System Configuration Required	
AA57	Seamless exchange	The system seamlessly performs interchange operations with other systems that adhere to interchange standards.	W - Workflow or System Configuration Required	
AA58	Different versions	The system provides the ability to use different versions of interchange standards.	W - Workflow or System Configuration Required	
AA59	Change standard	The system provides the ability to change (reconfigure) the way data is transmitted as an interchange standard evolves over time and in accordance with business needs.	W - Workflow or System Configuration Required	
AA60	Delete standards	The system provides the ability to delete an interchange standard.	N- Cannot Meet	
AA61	Prior standards	The system incorporates the ability to interoperate with other systems that use known earlier versions of an interoperability standard.	W - Workflow or System Configuration Required	This is dependent upon the standard in question as many legacy standards are not able to used due to security and HIPAA
AA62	Comply with VRFP	The EHR implementation incorporates the HL7 Electronic Health Record System (EHR-S) Vital Records Functional Profile (VRFP) that supports messaging between EHR systems and vital records.	F - Future	We anticipate this functionality being available in 2019.
AA63	Comply with NCHS Pre-Populate rules	The EHR implementation incorporates the work done by NCHS that specifies the data elements that may be pre-populated from an EHR or HIE to a vital records system.	F - Future	
BB - Exports and Imports				
BB1	Role/profile based creation	The ability to create imports and exports is role/profile based.	E - Exact match	
BB2	Role/profile based execution	The ability to execute imports and exports is role/profile based.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
BB3	Any event	The system supports imports and exports for any event types.	E - Exact match	
BB4	System table export	The State can create an export for any system table.	E - Exact match	The Export utility only exports events. The Report Builder can put files out in comma delimited or flag fixed length flat files.
BB5	Record format	The format of the import or export is State-defined and configurable.	E - Exact match	
BB6	User selected filters	The filters for an import or export are configurable and editable by the State.	E - Exact match	
BB7	Change record sequence	The sequence of records in an import or export is configurable and editable by the State.	E - Exact match	
BB8	Data Format	The system allows the user to select from a defined list the file format of an import or export (for example, text, Excel).	W - Workflow or System Configuration Required	The file format is limited for the Import and export utility. The file creation/export from the reports are very broad and includes Excel.
BB9	Create new imports	The system provides the ability for the State to define new imports as they become known.	E - Exact match	
BB10	Transform coded data upon import	Data can be automatically transformed upon input from a code provided in the incoming data to the corresponding State code.	E - Exact match	
BB11	Update flag upon export	When a record is selected for export the corresponding flag and date are updated in the extracted record.	E - Exact match	
BB12	Exports can be reprocessed	If necessary, an export can be reset as though it did not happen including resetting flags on individual records so that the whole export can be reprocessed.	W - Workflow or System Configuration Required	
BB13	Exports scheduled	The timing of an export can be scheduled to run at a specific time, either one time or on a recurring schedule.	E - Exact match	
BB14	Reporting frequency	If exports are on a recurring scheduled, the frequency can be multiple times per day, week, month or year.	E - Exact match	
BB15	Run unattended	Scheduled exports are executed without manual intervention.	E - Exact match	
BB16	Exports on demand	Exports can be run on demand.	E - Exact match	
BB18	Output data in State-defined format	The system provides the ability to output data in a State-defined format (preferably HL7) that meets a particular set of criteria and to route it to a specific agency (for example, Excel, db4, fixed length file).	W - Workflow or System Configuration Required	Any report output can be exported into a number of formats. HL7 is the format of the data and is specific to the application and agency receiving the data. That will have to be done specifically for them.
BB19	Blank fields can default	The system provides the ability to default "blank" fields to a value (for example "not reported").	W - Workflow or System Configuration Required	
BB20	Transform coded data upon export	Data can be automatically transformed from a State code to the corresponding code for the recipient of an extract.	E - Exact match	
BB21	Flag imported records	Records that are imported are identified by source and date added.	E - Exact match	
CC - Specific Exports and Imports				
CC1	Export for funeral establishments	The system provides the ability for funeral establishments to extract demographic death record data from the system in a State-defined format, for importing into their business systems.	E - Exact match	We have states that do this currently.
CC2	Coroner Demographic Export	The system includes an export to allow the coroners, using a State-defined format, to create a file of demographic information from a death event record.	W - Workflow or System Configuration Required	
CC3	Hospital export	The system provides the ability for hospitals to export, through a State-defined format, authorized data in a user-defined export format for loading into their own system.	E - Exact match	We provide the ability to have anyone with security use the export utility to export their data. We have not had the opportunity to do a
CC4	GIS Coding	The system can import geocoded values for records for any event type that update the appropriate records in the system.	W - Workflow or System Configuration Required	
CC5	Extract by Event	The system includes the ability to export data from each event type.	E - Exact match	
CC6	Child Services Extract	The system provides an on-demand extract of paternity data for Child Services Statistical reporting.	W - Workflow or System Configuration Required	
CC7	NCHS Exports and Imports	The system includes all applicable NCHS exports and imports required at the time of implementation through STEVE 2.0 and according to NCHS specifications.	E - Exact match	
CC8	Transmission report	The system provides a report of beginning and ending certificate numbers included in the transmission, and missing numbers from the transmission.	E - Exact match	This is a standard output from the NCHS extract process. Our Export utility produces this report.

Rule No.	Name	Description	Vendor Response	Comments
CC9	NCHS Birth Ethnicity Import	The system is capable of importing the NCHS Birth Bridge Race/Ethnicity file for return of primary race for records with multiple races.	E - Exact match	
CC10	NCHS Death Ethnicity Import	The system is capable of importing the NCHS Death Bridge Race/Ethnicity file for return of primary race for records with multiple races.	E - Exact match	
CC11	NCHS Fetal Death Ethnicity Import	The system is capable of importing the NCHS Fetal Death Bridge Race/Ethnicity file for return of primary race for records with multiple races.	E - Exact match	
CC12	Import NCHS OOS file	The system can import the monthly file from NCHS containing out of state information in the current format.	E - Exact match	
CC13	SSA Exports and Imports	The system is capable of exporting and importing all applicable SSA files for birth and death required at the time of implementation in the current SSA format.	E - Exact match	
CC14	SSA EAB export	The system is capable of exporting the SSA Enumeration at Birth (EAB) file.	E - Exact match	
CC15	SSA DFSTATE export	The system is capable of exporting the SSA State Death Extract File (DFSTATE).	E - Exact match	
CC16	SSA Child SSN EAB Import	The system is capable of importing the Child SSN EAB Feedback File.	E - Exact match	
CC17	SSA SS5 File Import	The system is capable of importing the SS5 records (SSN's not assigned based on requests from hospital).	W - Workflow or System Configuration Required	We are certainly capable, but I don't remember implementing this before because the hospitals enter the data and mark the flag as
CC18	Cause of Death Rapid Reporting Extract	System provides an extract in HL7 OBX format that allows the State to rapidly report cause of death information to interested agencies.	F - Future	We have implemented rapid reporting but not in HL7 OBX format
CC19	Fact of Death Rapid Reporting Extract	System provides an extract in HL7 OBX format that allows the State to rapidly report fact of death information to interested agencies.	F - Future	We have implemented rapid reporting but not in HL7 OBX format
CC20	Bad Check Import	The system can import records from a Bad Check File from Finance that sets the bad check indicators on the appropriate records.	W - Workflow or System Configuration Required	
CC21	Voter Registration	Specific death information including both in-state and out-of-state is exported using STEVE 2.0 for voter registration.	W - Workflow or System Configuration Required	
CC22	Extract in STEVE 2.0 format	The system is capable of extracting records that need to be sent to other states and sending them through STEVE 2.0.	E - Exact match	One of our states has implemented the Auto send using the Steve Thin Client and the approriate directories it uses.
CC23	Import STEVE 2.0 format	The system is capable of importing records received from other states through STEVE 2.0.	W - Workflow or System Configuration Required	
CC24	IJE Extract	For states not on STEVE, the system is capable of extracting records in the IJE format.	E - Exact match	
CC25	OVS Payment Verification Export	A monthly extract to calculate the number of records sent to OVS during the month summarized in the timeframes consistent with the SSA payment schedule.	W - Workflow or System Configuration Required	
CC26	ESB Extract by Event	Separate nightly extracts by event that pull all data fields (complete record) on all new and updated records for that day.	W - Workflow or System Configuration Required	
CC27	ESB events configurable	Event types included in the ESB can be configured by the State System Administrator	E - Exact match	
CC28	State Data File Export	Separate extracts from the final birth, death, and fetal death datasets for agency analysis and formal publication	W - Workflow or System Configuration Required	
CC29	Statistical Export by Local	Separate extracts by jurisdiction from the final birth, death, and fetal death datasets for agency analysis and formal publication	W - Workflow or System Configuration Required	
CC30	Epidemiology Export	The system produces an export on a monthly basis to send to the Epidemiology Resource Center that is user defined.	W - Workflow or System Configuration Required	
CC31	Child Fatalities	The system produces an export on a monthly basis of child fatalities.	W - Workflow or System Configuration Required	
CC32	WV Death Report	This monthly extract is used to identify deaths by multiple causes ICD codes, injury information and/or manner of death.	W - Workflow or System Configuration Required	
CC33	Maternal Mortality Review	This monthly extract is used to identify deaths by multiple causes ICD codes and/or pregnancy checkbox. Matches across birth and fetal death to pair maternal death with child's event.	W - Workflow or System Configuration Required	
CC34	Process NCHS OOS records file	The system provides a function to compare the file of OOS records provided by NCHS to the records received from other states and identify non-matches.	W - Workflow or System Configuration Required	This would use the match system as executed from the Import facility.

Rule No.	Name	Description	Vendor Response	Comments
CC35	Database - Support bulk load of data	The system database supports the ability to bulk load data from a previous electronic vital records system or from data systems containing auxiliary data needed for the vital records (such as records of hospitals, physicians and funeral directors).	W - Workflow or System Configuration Required	
CC36	Check Physician licenses	At system setup, a file from physician licensure can be used to populate the physician table.	W - Workflow or System Configuration Required	
CC37	Check Funeral Director licenses	At system setup, a file from funeral director licensure can be used to populate the funeral director table.	W - Workflow or System Configuration Required	
CC38	Offline certificate backup	The system includes an extract of printable certificate images that can be used for printing certified copies in emergencies where the system is offline.	W - Workflow or System Configuration Required	
CC39	Index to offline certificate backup	The extract of printable certificate images includes an index to the images that aids in image retrieval.	W - Workflow or System Configuration Required	
CC40	Schedule microfilm extract	The timing of the microfilm extract can be automatically scheduled to run at a specific time without manual launching of the job.	E - Exact match	
CC41	Extract in image format	The records in the microfilm extract are images of the certificates.	E - Exact match	
CC42	Microfilm by type of record	Each type of record (original birth, death, fetal death, adoption, paternity, etc.) is microfilmed separately.	E - Exact match	
CC43	Legacy Locator number	The legacy records will retain their locator number that tells the user which cassette to access to find the image.	E - Exact match	
CC44	Future locator numbers	Records created in EVRS can be tied by a reference number to the microfilm reel containing the image of the record.	W - Workflow or System Configuration Required	
CC45	Only microfilm once	The system recognizes that a record has been microfilmed so that it is only microfilmed once.	E - Exact match	
CC46	Redo microfilm	The system allows the user to remove a batch of flags that indicate records have been microfilmed so that the job can be redone in cases where errors in filming occur.	W - Workflow or System Configuration Required	
DD- Online Help				
DD1	On-line screen level help for user	The system provides online screen-level help that can be accessed from all screens. Depending on the nature of the screen, screen-level help provides both information for the user and more technical information for the Configuration Manager or Application Manager.	W - Workflow or System Configuration Required	
DD2	User help content	User help content includes navigation instructions, screen-sensitive conceptual overview, and step-by-step instructions for entering and managing data.	W - Workflow or System Configuration Required	
DD3	Context Sensitive Help	User help is context sensitive.	E - Exact match	
DD4	Resource and support menus	The resources and support menus contain the ability to link to multiple online resources. Examples of system links include: - Online death registration manual (possibly in both HTML and PDF) - Statutes and regulations pertaining to death registration - External resources such as NCHS, NAME (National Association of Medical Examiners) - YouTube videos on death certificate instructions	E - Exact match	This is the Help menu. Any web sites can be added to be displayed here for the user to click on. The table to populate with these URL's is the WEBSITE table in the system.
DD5	Content	Help content is specific to the State.	W - Workflow or System Configuration Required	
DD6	Resources and support menu links	The links contained in the resources and support menu are hyperlinks and display in a new window that does not interfere with the core session operations.	W - Workflow or System Configuration Required	
DD7	Multi-media help	The system allows the State to incorporate multi-media training materials into the help system.	W - Workflow or System Configuration Required	
DD8	Field level help	Field-level help provides information about the specific data that is to be entered in each field including acceptable field values.	E - Exact match	
DD9	System administrator rights to modify on-line help	Authorized users at the State have full rights, including add and edit rights to the online help for user and system administrator level help.	F - Future	We anticipate this functionality being available in 2021.
DD10	Store FAQ	The system includes a method of storing frequently asked questions (FAQ) for user access.	W - Workflow or System Configuration Required	This can be a simple event.
DD11	FAQ modification	Authorized users at the State have full rights, including add and edit rights to the FAQ repository.	E - Exact match	This would be just like any other event the state can edit and manage.

Rule No.	Name	Description	Vendor Response	Comments
DD12	Retain custom help	Help text or links to multimedia modified by the State are not overwritten on subsequent software upgrades.	W - Workflow or System Configuration Required	
DD13	Release information viewable	The release build numbers of the installed system are stored and viewable by authorized users.	E - Exact match	
EE - System Documentation				
EE1	User manual available on line	Documentation is available online.	W - Workflow or System Configuration Required	The URL points to an online resource.
EE2	Access by role	Access to documentation is assignable by role.	W - Workflow or System Configuration Required	
EE3	Print sections	An authorized user can print the section of the documentation pertaining to their role.	E - Exact match	
EE4	State specific	Documentation is specific to the State configuration.	W - Workflow or System Configuration Required	
EE5	End user guides	Documentation includes end user guides specific to roles.	W - Workflow or System Configuration Required	
EE6	Overview of browser operations	The End User Guide includes an overview of browser operations.	W - Workflow or System Configuration Required	
EE7	Overview of system functionality	The End User Guide includes an overview of system functionality.	W - Workflow or System Configuration Required	
EE8	Explicit instructions on system usage	The End User Guide includes explanations of menu options, screen flows, field definitions and user instructions by role.	W - Workflow or System Configuration Required	
EE9	Description of reports	The End User Guide includes a description of each of the standard reports.	W - Workflow or System Configuration Required	
EE10	Explanation of edits	The End User Guide includes an explanation of each of the edits and validation checks.	W - Workflow or System Configuration Required	
EE11	Quick Reference Guide	The documentation includes a User Quick Reference Guide by role.	W - Workflow or System Configuration Required	
EE12	System Administrator Guide	The documentation includes a System Administrator Guide.	W - Workflow or System Configuration Required	
EE13	Administrator Documentation	The System Administrator Guide includes instructions for all administrative functions (e.g. user management, password management, role/profile management, troubleshooting, examples, common issues, known issues, etc.).	W - Workflow or System Configuration Required	
EE14	Configuration Documentation	The System Administrator Guide includes instructions for all configuration functions (e.g. changing screens, adding fields, changing edits, updating tables, etc.).	W - Workflow or System Configuration Required	
EE15	Data dictionary	The System Administrator Guide includes sufficient information about the database to provide an understanding of the relationship between data elements (for example, foreign keys) in order for the State to be confident that reports, imports and extracts are configured properly.	W - Workflow or System Configuration Required	
EE16	Message documentation	The System Administrator Guide includes information on system messaging including how to change messages.	W - Workflow or System Configuration Required	
EE17	Report Writer Guide	The documentation includes a Report Writer Guide	W - Workflow or System Configuration Required	
EE18	Guidelines for changing and maintaining reports	The Report Writer Guide includes guidelines for how to make changes to reports and forms that the State can maintain.	W - Workflow or System Configuration Required	
EE19	Technical Documentation	The documentation includes technical system documentation.	W - Workflow or System Configuration Required	
EE20	System Architecture Documentation	The technical documentation provides a high-level system architecture diagram, including recommended and minimum hardware and software specifications.	W - Workflow or System Configuration Required	
EE21	Interface documentation	The technical documentation includes an overview and operating instructions for all interfaces.	W - Workflow or System Configuration Required	
EE22	Explicit instructions on security mechanisms	The technical documentation includes explicit instructions on security mechanisms by role/profile.	W - Workflow or System Configuration Required	
EE23	Operating guide	The technical documentation includes an operating guide for installing and applying system upgrades, maintenance, tuning, etc.	W - Workflow or System Configuration Required	
EE24	Troubleshooting	The technical documentation includes a troubleshooting guide.	W - Workflow or System Configuration Required	

Rule No.	Name	Description	Vendor Response	Comments
EE25	Training database	The system includes a reusable training database that provides the State with the ability to train one or more users at one time on a system configuration that matches the production environment.	W - Workflow or System Configuration Required	
EE26	No PHI in training database	The training database simulates (but does not contain PHI) the production environment.	W - Workflow or System Configuration Required	
FF- Technical Specifications				
FF5	Scalable	The system is scalable to support the Vital Records/Statistics needs for the next 10 years, based on the anticipated number of transactions at an annual growth rate of 10%-15%.	E - Exact match	
FF6	System software upgrades	The system is maintained by the vendor to allow State to upgrade system software to current levels.	E - Exact match	
FF7	Operational downtime	Normal day-to-day operational downtime for system patches, applying new releases or other routine activities should be scheduled for non-peak hours as described by management.	E - Exact match	
FF8	Database - Replicate data	The system allows the ability to replicate data to offsite back-up systems using standard database features and functions, i.e., not proprietary.	E - Exact match	
FF9	Transaction logging	The system allows for transaction logging so that in the event of failure the system can be recovered using the last backup (including any incremental backup and transactional logs) to the point of failure using standard DB features and functions, i.e., not proprietary.	E - Exact match	
FF10	Backup timeframe	The system supports daily backup.	E - Exact match	
FF11	Load balancing	The system automatically balances the load of user activity among the servers to ensure the most efficient processing time possible.	E - Exact match	
FF12	Fail over	If one server ceases to function the system seamlessly moves users to another back-up server without interrupting transaction activity.	E - Exact match	
FF13	Active directory	The system has the ability to allow users to authenticate through active directory.	W - Workflow or System Configuration Required	
FF14	Use of Active Directory configurable	The State system administrator can turn on and off the use of the active directory for authentication of EVRS users.	E - Exact match	
FF15	Web interface	The system is accessed via the Internet using any generally accepted browser.	E - Exact match	
FF16	Web Interface: IE	The system is accessible via Internet Explorer	E - Exact match	
FF17	Web Interface: Chrome	The system is accessible via Chrome	E - Exact match	
FF18	Web Interface: Firefox	The system is accessible via Firefox	E - Exact match	
FF19	Web Interface: Safari	The system is accessible via Safari	E - Exact match	
FF20	IIS Support	IIS 8.0 and above must be supported for the Web component	E - Exact match	
FF21	Implement modules independently	The system allows vital events to be implemented independently, and in any order desired by the State.	E - Exact match	
FF22	Multiple code usage	If more than one module repeats the use of the same code it is extracted and referenced by the multiple scripts.	W - Workflow or System Configuration Required	
GG - Security				
GG1	SSL encryption	Vendor ensures all network traffic is encrypted using a SSL certificate.	E - Exact match	
GG2	No Proprietary Encryption	The system does not use proprietary encryption techniques.	E - Exact match	
GG3	Encryption	The system uses AES 256 or higher encryption.	E - Exact match	
GG4	Encrypt data at rest	The system allows data within the database to be encrypted at rest.	E - Exact match	

Rule No.	Name	Description	Vendor Response	Comments
GG5	Standard for exchange of data	The standard for exchange of data within the system is a secure hypertext transport protocol or https.	E - Exact match	
GG6	HIPAA rules	Even though the State Vital Records and Statistics function is HIPAA exempt, security rules need to be robust enough to protect the data as described by HIPAA requirements.	E - Exact match	
GG7	Vulnerability Scans	The software can pass industry standard vulnerability scans prior to being installed in a production environment.	W - Workflow or System Configuration Required	We are constantly running different scans to ensure we are coding to industry standards.
HH - Certificates of Death in Events of Disasters				
HH1	Disaster table	The system includes a table that can be used to name and describe individual, natural or man-made disasters.	W - Workflow or System Configuration Required	Simple table with disasters and dates and descriptions.
HH2	Link deaths to disasters	An authorized user can link a death record to an entry in the disaster table when the death was caused directly or indirectly by the disaster.	W - Workflow or System Configuration Required	The Disaster will be a dropdown on the death record the user can choose if the death was because of a disaster.
HH3	Disable COD edits during disasters	If a death is linked to a disaster the authorized user has an easy way to disable cause of death edits.	W - Workflow or System Configuration Required	
HH4	Direct or indirect deaths	If a death is linked to a disaster, a system feature is enabled to indicate if the death was directly or indirectly caused by the disaster.	W - Workflow or System Configuration Required	Adding an additional field can satisfy this requirement.
HH5	Disaster queue	Death records linked to a disaster can be viewed from a queue for quality assurance of COD coding.	W - Workflow or System Configuration Required	Search death by the Disaster field.
II - Occupation and Industry Capability				
II1	Compatibility with NIOCCS Coding	The system produces a file in a format compatible with the NIOCCS Occupation and Coding System.	W - Workflow or System Configuration Required	Have not had the opportunity to do this yet. Looking forward to meeting this requirement and interfacing with NIOCCS.
II2	Export Files to NIOSH	The system can export files from the database to NIOCCS.	W - Workflow or System Configuration Required	
II3	Option to select file format	The state can select either the NIOCCS Slim File Format or the Expanded File Format.	W - Workflow or System Configuration Required	
II4	File format options	The file format can be either plain text or MS Excel.	W - Workflow or System Configuration Required	Only if it comes from the report center and not the extract system.
II5	Information to be included	The file includes the record ID#, industry title and occupation title from the death record.	W - Workflow or System Configuration Required	
II6	Option to include other useful information	If the Expanded File Format is selected by the State, the file may contain other information from the death record that could be useful in coding as defined by the State.	W - Workflow or System Configuration Required	
II7	Import NIOCCS codes	The system can import the file of coded records returned from the NIOCCS into the database.	W - Workflow or System Configuration Required	
II8	Update Death Records with NIOCCS Codes	Each death record is updated with the corresponding occupation and industry codes, as appropriate, that are returned from NIOCCS in the import file.	W - Workflow or System Configuration Required	
II9	Update coding and records	In addition to storing the industry and occupation codes returned by NIOCCS, the record update will include the census year used, the confidence level used (high or medium), how the industry code was selected (auto-coded, manually coded, for example), and how the occupation code was selected (auto-coded, manually coded).	W - Workflow or System Configuration Required	
II10	Election to store coding	The State may elect to also store the returned North American Industry Classification System (NAICS) code and the Standard Occupation Code (SOC) in the death record.	W - Workflow or System Configuration Required	
II11	Election to store coding notes	The State may elect to store the coding notes field that is returned in the NIOCCS file in the death records.	W - Workflow or System Configuration Required	
II12	Replace code with new values found in crosswalk	If the State chooses to change the coding year using the crosswalk feature of NIOCCS, the system can replace the industry and occupation codes and associated fields with the new values found in the crosswalk output.	W - Workflow or System Configuration Required	
JJ - Ad Hoc Reporting and Distribution				
JJ1	FTP downloads	The system has the ability to schedule a script to download a specific file from a remote FTP site.	W - Workflow or System Configuration Required	This has been done with IA and the Steve import/export.
JJ2	FTP uploads	The system has the ability to schedule a script to upload a specific file to a remote FTP site.	W - Workflow or System Configuration Required	
JJ3	Ad hoc query	Ad hoc query to select data and fields: a. Filter condition, b. Fixed query (e.g. Last 7 days), c. Parameter query (e.g. User input)	N- Cannot Meet	
JJ4	Export query	The system can export results to different formats (i.e. Excel, Dbase4, fixed length format, delimited (comma, pipe, tab), and Access).	W - Workflow or System Configuration Required	Some of these (Fixed, csv) come from the extract utility, the rest come if the exract is created with a report.

Rule No.	Name	Description	Vendor Response	Comments
JJ5	Compress files	Files can be compressed and encrypted prior to delivery.	N- Cannot Meet	
JJ6	Distribute query results	User can choose to print query results or distribute files via FTP upload (scripting) or email group list.	W - Workflow or System Configuration Required	
JJ7	Ad hoc execution log	The system maintains a log of ad hoc query history.	N- Cannot Meet	

Attachment D3_Forms Specifications

A completed *Attachment D3_Forms Specifications* spreadsheet follows this page.

Attachment D3 - Forms Specifications				
Reference#	Short Description	Long Description	Vender Response	Comments
		A - System Reports		
A1	Listing of Queues	A report of the contents on any queue.	Yes	
A2	Case Lists By Role	The user may create a user defined report or display a list of records by role and /or profile. The list or report is sortable by any of the fields contained within it.	Yes	
A3	Case Lists by Status	The user may create a State defined report or display a list of records by record status. The list or report is sortable by any of the fields contained within it.	Yes	
A4	Range of SFN numbers	The system allows a user to enter a list of State File Numbers consisting of individual numbers and ranges of numbers for which to print abstracts or certificates.	Yes	
A5	Registered Users and Facilities	A listing of registered users by type of user (funeral home user, medical certifier, State employee, etc.) and the organization they are affiliated with, showing titles, levels of access, and frequency of use. Produced monthly or on demand by the application administrator. (NAPHSIS Report 39.0).	Yes	
A6	EVRS System Usage	A system usage report for an institution and individual institution users, upon request, using state defined selection criteria such as date range, date and time range, case type, case number, type of activity and includes data regarding records viewed (i.e. for child services billing). This report may be viewed on screen or printed.	Yes	
A7	Report of Changes	A Report of all changes on a specific record, since record inception. This report may be viewed on screen or printed.	Yes	
A8	System Users	A list of all system users who have entered records in EVRS. Needs to be able to be run for one group of users (ex: Midwives) or multiple groups of users (ex: Regional Offices and State Office Front Counter.	Yes	
A9	Update Transaction Report	Audit log of any changes to a record sorted by year and SFN. This report may be viewed on the screen or printed.	Yes	
		B - Death Record Outputs		
	FORMS and CERTIFICATES			
B1	Death Abstract	A death abstract is a system form with data populated from a death record. The format and fields are State defined. This is not a legal copy and is marked with a state defined watermark.	Yes	
B2	Statement of Death	A system form populated from a death record. This form includes decedent name, date of death and county of death, and is available to genealogists. The format and fields are state defined.	Yes	
B3	Verification of Death	A system form populated from a death record. The format and fields are State defined. This form differs from the Statement of Death as it contains the SFN and file date.	Yes	

B4	Institution Face Sheet	A standard face sheet is available in the system to print, on demand, by institution. The form and fields are user defined by the State and will contain decedent demographic information, date of death cause of death, and other information from the record. While the fields on the face sheet are the same for all institutions, the system will be able to distinguish which institution is accessing the form and print the form with the institution's name and location.	Yes	
B5	Full Certificate of Death	Print a full certified death certificate including all medical information and with or without signatures.	Yes	
B6	Long Form Certificate	Print a long form full certified death certificate containing State defined fields. ("The Full Size")	Yes	
B7	Short Form Death Certificate	Print an abbreviated short form, legal certified copy of a death certificate. This document does not contain any medical information.	Yes	
B8	Delayed Certificate of Death	Print the form "Delayed Certificate of Death" on demand for a specific case. This is a State defined form.	Yes	
B9	Delayed Certificate of Death - Abstract Supplement	Print the form "Delayed Certificate of Death - Abstract Supplement" on demand for a specific case. This is a State defined form.	Yes	
B10	Authorization for Final Disposition	A form generated from a death record. Fields are user defined.	Yes	
B11	Fetal Death Authorization for Final Disposition	A form generated from a fetal death record. Fields are user defined.	Yes	
B12	Cremation Abstract	A State defined form that can be printed from a death record.	Yes	
B13	Cremation Permit	A State defined form that can be printed from a death record.	Yes	
B14	Medical Examiner's Verification for Cremation Permit	A State defined form for the medical examiner to sign, verifying that the information on the death certificate is accurate prior to authorizing a cremation permit.	Yes	
B15	Disinterment/Reinterment Permit	Print a blank disinterment permit for non-EVRS system users, including instructions.	Yes	
B16	Disinterment/Reinterment Permit	A State defined form containing fields such as decedent and location information.	Yes	
B17	Full Certificate of Death (not a legal copy)	Print a full copy of a death certificate with a watermark indicating that the copy is "not legal."	Yes	
B18	Funeral Home Verification Death Record	The funeral home may print a report of a death record to be used to verify the information collected from the informant. This report includes all demographic information about the decedent and provides a place for the informant to sign acknowledging that the information on the form is accurate. This form is State defined.	Yes	
B19	Death Worksheet	A State defined form that may be printed in order to collect death data from the informant.	Yes	

B20	Medical Certifier's Death Abstract	A State defined form that includes minimal demographic information and all medical information about a decedent.	Yes	
B21	Non-Resident Death Abstract	A State defined abstract of a single death record for a non-West Virginia resident. This may be printed from the system to report death to decedent's state of residence.	Yes	
	LETTERS			
B22	Death Certificate instructions	A State defined letter that users can edited and print which provides instructions for completing a death certificate.	Yes	
B23	Death Query Letter	A State defined letter that users can edit asking for clarification on missing information on a death record.	Yes	
B24	Cause of Death Query Letter	A State defined query letter that users can edit requesting clarification on Cause of Death information.	Yes	
B25	Death Certificate Pending Letter	A State defined letter that users can edit which sent to requestors informing them that the cause of death is still pending due to Medical Examiner investigation. Letter may be run on-demand and is pre-populated from the death record.	Yes	
B26	Cause of Death Letter Required	A State defined letter that users can edit which can be printed on demand for outstanding incomplete registered death records (e.g. Pending Cause of Death) in excess of the State-defined time period.	Yes	
B27	Non-Contagious Disease Letter	A State defined letter for transporting bodies out of the country.	Yes	
B28	Embalmer's Affidavit	A State defined letter for transporting bodies out of the country.	Yes	
	REPORTS			
B29	Out-of-State Resident Deaths	A report of all information regarding residents of other states who have died in West Virginia. This report is produced on demand if the information has not been electronically reported through STEVE.	Yes	
B30	WV Deaths born Out-of-State	A report of all information regarding residents of WV who were born in other states. This report is produced on demand if the information has not been electronically reported through STEVE.	Yes	
B31	Deaths – Under 1 Year Old of Age	A standard report to provide a birth/death match audit list. Key data elements include record identifier, name, date of death, match/no-match. Only infant deaths that are not matched are printed.	Yes	
B32	Missing Number Report for Death	A list report that shows gaps in death certificate numbers.	Yes	
B33	Prescription Drug Deaths	A report run on demand of all ICD codes related to prescription drug deaths. ICD codes for report are editable.	Yes	
B34	Occupational Fatality	A report that provides all deaths that occur in state due to occupational fatalities. The fields are user defined. The recipient reviews the report in order to requests copies of death certificates of interest related to workplace deaths	Yes	

B35	Unknown Cause of Death	A report of all death records with a cause of death based on ICD Code R99.	Yes	
B36	Rare Cause of Death	A report of death records with rare causes of death for a specified period of time. User may specify one or more rare causes of death to be included in the report.	Yes	
B37	Cause of Death Error Listing	Listing of records to be queried because of cause of death errors, showing the name of medical institution, medical certifier, name of the decedent, date of death, county or city of occurrence, and cause of death as listed on the certificate, produced upon demand. This report is user defined.	Yes	
B38	Pending Cause of Death Listing	Listing of death certificates with pending cause of death, showing the name of decedent, the certifier, county or city of occurrence, date of death, and length of time registered, and SFN, produced on demand. (NAPHSIS Report 16.0)	Yes	
B39	Print History of a Record	Print a complete history of a record including all the corrections or amendments associated with the record, searches on the record, requests for the record, and copies made. The report shows the chronological order of these activities and identifies the changes made to the record.	Yes	
B40	Institution's Incomplete Records	A report, upon request, by an authorized user of an institution's incomplete or orphaned records for any event type for a specified time period. Lists all cases in the institution that meet the criteria, and includes the name of the last user to work on the case.	Yes	
B41	Death Certificate Query Report	Number and percentage of death certificates queried by type of query and data provider, produced with month and year-to-date figures that print by geographic area. Report does not include cause of death information. Data providers can print the report for their own institution only. The fields in this report are state defined. Report can be run on demand and user may specify date range report should cover.	Yes	
B42	Cause of Death Query Report	Number and percentage of death certificates queried for cause of death errors by data provider and type of query, produced on demand with year-to-date totals. May be shown by geographic area. The fields in this report are state defined. (NAPHSIS Report 15.5)	Yes	
B43	Audit Report of Changes to Death Certificate after SSN Verification	On-demand listing of key fields used for SSN verification that were changed on the death certificate (as defined by SSA and the State) after the SSN number had been verified. The listing shows the user id of the user who changed the key fields and the specific fields changed. (NAPHSIS Report 18.5)	Yes	
B44	Death Institution Registration Audit Report	Listing of deaths registered by hospital/institution and internal record number. Includes timeliness includes filing deaths with completed demographic information and timeliness on the medical certification by physicians in the institution. Shows total number and percentage of late registrations. May be produced for a user-specified time period.	Yes	
B45	Funeral home Registration and Timeliness Report	Number of registered deaths by funeral home, the average time between death and registration of event, the overall number and percent of late registrations, and comparison of funeral home with state overall timeliness average. Produced monthly with year-to-date totals. Report is accessible to funeral homes.	Yes	

B46	Funeral Home Quality Report	Number and rate of unknowns by funeral home for selected death certificate items, with comparison of the funeral home versus state overall rate. Available monthly or as needed with year-to-date totals. Report is accessible by funeral homes.	Yes	
B47	Medical Certifier Home Quality Report	Number and rate of unknowns by medical certifiers for selected death certificate items, with comparison of the medical certifier versus state overall rate. Available monthly or as needed with year-to-date totals. Report is accessible by medical certifiers.	Yes	
B48	Individual Medical Certifier Timeliness Report	Number of registered deaths by medical certifier (including Medical Examiners), the average time between death and certification of the event, the overall number and percent of late registrations, and comparisons of medical certifiers with state overall timeliness average. Produced on demand with year-to-date totals. Report is accessible by the State. This report is configurable and compares the date of notification (or death if no automated notification) to the date certified.	Yes	
B49	NCHS Timeliness Report	Number of registered deaths by medical certifier, the average time between date of death and submission to NCHS with cause of death included. Produced on demand with year-to-date totals. Report is accessible by the State.	Yes	
B50	Individual Funeral Director Timeliness Report	Number of registered deaths by funeral director, the average time between death and registration of event, the overall number and percent of late registrations, and comparison of funeral directors with state overall timeliness average. Produced monthly with year-to-date totals. Report is accessible by funeral homes.	Yes	
B51	Funeral Home Query Report	Number and percentage of death records queried and number of times each data item is queried by funeral home and user, geographic area and/or error code. Produced monthly with year-to-date totals.	Yes	
B52	MICAR Sent Report	A standard report to provide an audit list of sent MICAR records. Key data elements include record identifying info, total count.	Yes	
B53	Reportable Diseases	Lists cases of reportable diseases listed as primary or contributing causes of death. Report may be run on-demand. This list is user defined and managed by authorized users through a table.	Yes	
B54	Cremation Report	A report that provides the number of cremation authorization printed for a specific funeral establishment for a specified period of time. If run by funeral directors, the report is provided for their establishment only.	Yes	
B55	Disinterment Report	The system provides a list of approved Disinterment Permits for a user specified period of time, and for their establishment/institution.	Yes	
B56	Deaths by date (specified time frame)	An ad hoc report for funeral director or medical certifiers that lists the deaths by date for a specific timeframe. The fields of this report are user defined. This report can be run only for records completed by the user creating the report. An authorized user at the State may run the report by specific funeral director, medical certifier or by institution.	Yes	
B57	Deaths by date and manner (specified time frame)	An ad hoc report for funeral director or medical certifiers that lists the deaths by date and manner of death for a specific timeframe. The fields of this report are user defined. This report can be run only for records completed by the user creating the report. An authorized user at the State may run the report by specific funeral director, medical certifier or by institution.	Yes	
		C - Birth Record Outputs		

	FORMS			
C1	Birth Worksheet	Print a form to be filled out by the mother or parents to collect the birth data.	Yes	
C2	Institution Birth Verification	A form with birth information on it for verification by the parents. The form is state defined and provides a space for the mother to sign. This is not a certified legal copy and is marked as such.	Yes	
C3	Home Birth Verification	A form with birth information on it for verification by the parents. The form is state defined and provides a space for the mother to sign. This is not a certified legal copy and is marked as such.	Yes	
C4	Full Certificate of Live Birth (includes medical information)	Print a birth certificate for internal use only that is state defined and includes all relevant medical data and other birth information. This is not a legal copy and is clearly marked as such.	Yes	
C5	Complete Legal Certified Copy of Birth Certificate	Print a complete legal certified copy containing minimal event data (but more than short form) and no medical information of a birth certificate after certification by the Registrar for parents and other authorized requestors. This form is state defined.	Yes	
C6	Verification of Birth	Print an abstract of birth record data (called a Verification of Birth), generally used to confirm a birth event for government agencies. This is not a certified legal copy and is marked as such.	Yes	
C7	Certificate of Foreign Birth	Print "Certificate of Foreign Birth" on demand for a specific case. This is a State defined document.	Yes	
C8	Delayed Certificate of Birth	Print a birth certificate that was registered more than one year after the date of birth. This type of certificate is different in format from the standard birth certificate. Prints DELAYED over the SFN.	Yes	
C9	Delayed Certificate of Birth Abstract	Print an abstract of Delayed Certificate of Birth, generally used to confirm a birth event for government agencies. This is not a certified legal copy and is marked as such.	Yes	
C10	Birth Transcript (non-resident birth abstract)	A report of Birth Transcripts is printed and sent to other states for residents of those states who are born in West Virginia. They are a report for each birth with child, mother, and father and medical information as well as a specific SFN. This report only includes original records; it never gets updated as records are corrected or amended. This report is produced on demand if the information has not been electronically reported through STEVE.	Yes	
C11	Paternity Affidavit Form (PAF)	Pre-populate Paternity Affidavit (PAF) form from the completed birth record. This includes a complete set of rights and responsibilities (instructions). Users may print the PAF and rights and responsibilities (instructions) separately.	Yes	
C12	Certificate of Paternity	Print a form to be filled out by the Clerk of the Circuit Court and Petitioner's Attorney to establish paternity, remove a father, or change a child's last name on a birth certificate.	Yes	
C13	Certificate of Adoption	Print a form to be filled out by the Clerk of the Circuit Court for the filing of a new birth certificate following an adoption.	Yes	
C14	Paternity report	On a quarterly basis, a Paternity Report is sent to the Department of Social Services (DSS) with state defined information such as number of births, number of out of wedlock births, number of Paternity Acknowledgments by hospital. The Paternity report to the Department of Social Services (DSS) is State-configurable.	Yes	

C15	Non-Paternity Affidavit (Non-PAF)	Pre-populate Affidavit of Nonpaternity (Non-PAF) form from the completed birth record.	Yes	
C16	Newborn Admissions List Report	Provide facilities with a report or on screen listing of all newborns by a specified birth date range. The fields on this report are state defined. Each facility may see only their births. Reports are printable.	Yes	
C17	Transfers - Newborn Transfers (Out) Report	Provide facilities with a report or on screen listing of all newborn transfer outs by a specified birth date range. The fields on this report are user defined. Each facility may see only their births. Reports are printable.	Yes	
C18	Transfers - Mother Transfers (In) Report	Provide facilities with a report or on screen listing of all mothers who transfer into their facility by a specified birth date range. The fields on this report are user defined. Each facility may see only their births. Reports are printable.	Yes	
C19	Adequacy of Prenatal Care Listing	Provide facilities with a report or on screen listing for all mothers who gave birth at their facility by a specified birth date range. The fields on this report are user defined and will include identifying information and prenatal care adequacy. Each facility may see only their births. Reports are printable.	Yes	
C20	Pregnancy Risk Monitoring Assessment	A State defined monthly report for Maternal Health Risk Assessment.	Yes	
C21	Teen Mother Listing	Provide facilities with a report or on screen listing of all teen mothers who gave birth at their facility by a specified birth date range. The fields on this report are user defined. Reports are printable.	Yes	
	LETTERS			
C22	Query Letter	A state defined query letter asking for clarification or missing information on the birth certificate. Portions of the letters are editable by the user.	Yes	
C23	Infant Letters	A State defined query letter to hospitals requesting additional information on at-risk infants. Portions of the letters are editable by the user.	Yes	
C24	Affidavit of Paternity Incomplete	Create a letter to the parents notifying them that the affidavit of paternity received at the State is not complete and cannot be processed. The letter includes information from the Paternity record, birth record and also indicates the denial reasons with notes.	Yes	
C25	Affidavit of Non-Paternity Incomplete	Create a letter to the parents notifying them that the affidavit of non-paternity received at the State is not complete and cannot be processed. The letter includes information from the Paternity record, birth record and also indicates the denial reasons with notes.	Yes	
C26	Affidavit of Paternity Reminder	Create a State defined letter to the parents reminding them to submit their affidavit of paternity.	Yes	
C27	Home Birth Instructions	Instructions for filing a birth certificate for a planned home birth.	Yes	
C28	Home Birth Query Letter	Create a State defined and user editable letter to the parents or midwife requesting additional information for a home birth.	Yes	
C29	Request for list of Children Letter	Create a State defined and user editable letter to the parents requesting additional information about all related children.	Yes	
	REPORTS			
C30	Institution's Incomplete Records	A report, upon request, by an authorized user of an institution's incomplete or orphaned records for any event type for a specified time period. Lists all cases in the institution that meet the criteria, and includes the name of the last user to work on the case.	Yes	
C31	Missing Number Report for Birth	A list report that shows gaps in birth certificate numbers.	Yes	

C32	Affidavit of Paternity Completed	Lists or summarizes birth records for which an affidavit of paternity was filed by the parents. Generated for a specified period of time, List of Paternities by type and status (completed, rejected, rescissions) that are processed by facility.	Yes	
C33	Birth Institution Registration Audit Report	Listing of births registered by hospital/institution, internal record number, fathers first and last name, child's name, mother's first, maiden and last name, date of birth and name of attendant. Shows total number. May be produced for a user-specified time period (daily or weekly). (NAPHSIS Report 7.0)	Yes	
C34	Birth Institution Registration and Timeliness Report	Number of registered births by hospital/institution, the average time between date of birth and registration of event, the overall number and percent of late registrations, and comparison of institution with state overall timeliness average. Produced monthly with year-to-date totals. Report is accessible by medical facilities. (NAPHSIS Report 8.0)	Yes	
C35	Birth Institution Quality Report	Number and rate of unknowns by hospital for selected birth certificate items, with comparison of institution versus state overall rate. Available monthly or as needed with year-to-date totals. Report is accessible by medical facilities. (NAPHSIS Report 10.0).	Yes	
C36	Birth Records Completed Report	List of birth records completed by an office, institution, or date range. Generated on demand.	Yes	
C37	Birth Institution Query Report	Number and percentage of birth records queried and number of times each data item is queried by birth institution and user, geographic area and/or error code. Produced monthly with year-to-date totals. (NAPHSIS Report 9.0)	Yes	
C38	Babies Less than 500 Grams or Not Weighed (9999)	A State defined report, for each institution, on all births with a birth weight of '9999', not weighed or under 500 grams, sorted by Birth Certificate Number. Printed on demand.	Yes	
C39	Unmatched Multiple Births	Records where the plurality code was greater than one but where there was not a record for the other birth(s) (i.e., there is a record for one twin without the other). The report is used to determine if there was an error in entry or an unreported fetal death.	Yes	
C40	Summary of Deliveries	A report of the number of live births per physician/midwife for specific birthing institution for a specified range of dates. Users may run this report for their institution only.	Yes	
C41	Detailed Delivery Report	A report of live births reported or attended by a specific physician or midwife for a specified period of time. This report is user defined and will included fields such as: child's name, mothers full name, date of birth. Facilities may run this report only for physicians/midwives associated with their facility.	Yes	
C42	PAF and Out-of-Wedlock Births	A State defined report comparing the number of Paternity Affidavits with the number of out-of-wedlock birth, by each birthing institution. Run on demand.	Yes	
C43	Compare West Virginia to Out of State Births	The system runs a query on demand that compares out-of-state births to West Virginia birth records in order to find any births that may have been reported twice. The fields used to match records are State defined. The output may be a report or a screen listing. .	Yes	
C44	Records with Query Items	Summary count of the number of records with birth query items.	Yes	
C45	Total Query Items	Number of total birth query items by facility and error code.	Yes	
C46	Query Listing	A listing of birth query items and their frequency by facility or certifier followed by a report of the specific birth query items by certificate.	Yes	

		D - Birth-Death Cross Match Reports		
	REPORTS			
D1	**Listing of Unmatched Births with High Probability of Death**	A listing of birth records with no matching death certificate and containing selected medical risk factors (e.g., low birth weight and gestation age, selected congenital anomalies) suggesting a high probability of infant death. This listing will be State defined and include, at minimum, name of child, mother's maiden name, certificate number, date of birth, city or county of occurrence, and flag indicating whether child is alive at time of reporting, and birth institution. Produced quarterly or on demand. (NAPHSIS Report 37.5).	Yes	
D2	**Birth/Death Linkage Report for Persons Aged 1+**	Number and percentage of records of persons aged 1+ linked by method (automated or manual). Produced as needed. (NAPHSIS Report 37.0).	Yes	
D3	**Death with no corresponding birth**	A list of infant death records with no corresponding birth record.	Yes	
D4	**Summary of Deliveries**	A report of the number of deliveries per physician/midwife for a specific birthing institution for a specified range of dates. Users may run this report for their institution only.	Yes	
D5	**Detailed Delivery Report**	A report of deliveries reported or attended by a specific physician or midwife for a specified period of time. This report is user defined and will included fields such as: child's name, mothers full name, date of birth. Facilities may run this report only for physicians/midwives associated with their facility.	Yes	
		E - Fetal Death Reports (Missing Supplemental Report of Cause of Fetal Death)		
	FORMS			
E1	**Report of Fetal Death**	On demand, print a report of all data in the Fetal Death record.	Yes	
E2	**Facility Worksheet for the Report of Fetal Death**	Print a blank Facility Worksheet for the Report of Fetal Death at a hospital.	Yes	
E3	**Patient's Worksheet for the Report of Fetal Death**	Print a blank Patient's Worksheet for the Report of Fetal Death at a hospital	Yes	
E4	**Fetal Death Verification Form**	Print a State defined form for the parents to review.	Yes	
E5	**Non-Resident Fetal Death Transcript**	Abstract of a single fetal death report for a non-West Virginia resident. Used to report fetal death to mother's state of residence.	Yes	
E6	**Certificate of Birth Resulting a Stillbirth**	Print the form "Certificate of Birth Resulting in Stillbirth" on demand for a specific case. This does not contain cause of death information and fields are State defined.	Yes	
	LETTERS			
E7	**Fetal Death Query Letter**	A letter sent to hospitals requesting information on missing or contradictory items.	Yes	
	REPORTS			
E8	**Fetal Death Registration and Timeliness Report**	Number of fetal deaths and the number and percent of late registrations by medical institution. Produced on demand with year-to-date totals. May be produced by geographic area. (NAPHSIS Report 20.0)	Yes	
E9	**Fetal Death Query Report**	Number and percentage of fetal death reports queried by type of query, weeks of gestation or birth weight, medical institution and by person completing the report. Produced monthly with year-to-date totals. May be produced by geographic area. (NAPHSIS Report 21.0)	Yes	
E10	**Fetal Data Quality Report**	Number of registered fetal deaths and rate of unknown for selected data items by medical institution, by person completing the report and weeks of gestation (or birth weight). Produced monthly with year-to-date totals. (NAPHSIS Report 22.0).	Yes	

E11	Fetal Death and Birth	A report that lists all fetal deaths that matches a live birth (subsequent infant death).	Yes	
E12	Fetal Death and Death	A report that lists all fetal deaths that matches a death record.	Yes	
		F- ITOP Reports		
	FORMS			
F1	Non-Resident ITOP Transcript	An abstract of a single ITOP report for a non-West Virginia resident. Used to report ITOP to patient's state of residence.	Yes	
F2	Report of ITOP	On demand, print a report of all data in the ITOP record.	Yes	
F3	Blank Report of ITOP	On demand, print a blank Report of ITOP at a hospital.	Yes	
	LETTERS			
F4	Error Query Cover Letter	On demand, print a cover letter to the clinic requesting corrected/additional information. Letter is pre-populated based on information in the record.	Yes	
	REPORTS			
F5	ITOP Registration and Timeliness Report	Number of ITOPs and the number and percent of late registrations by institution. Produced on demand with year-to-date totals. May be produced by geographic area.	Yes	
F6	ITOP Error Report	A list of records containing errors or out-of-range values that may be verified before acceptance by the State. Report is generated on demand for an individual clinic/user.	Yes	
F7	ITOP Gestational Weeks Report	A list of records with gestation above 24 weeks (and above 20) to be verified before acceptance by the State. The number of gestational weeks is configurable. Report is generated on demand for an individual clinic/user.	Yes	
		I - Legal Correction and Amendment Reports and Legal Letters		
	FORMS			
I1	Affidavit to Correct West Virginia Death Certificate	EVRS supports the generation of an affidavit for the correction of a death record, pre-populated with information from the event record. It also allows the user to enter the evidence information prior to printing.	Yes	
I2	Affidavit to Correct West Virginia Birth Certificate	EVRS supports the generation of an affidavit for the correction of a birth record, pre-populated with information from the event record. It also allows user to enter the evidence information prior to printing.	Yes	
I3	Amended certificate of birth by legitimation	EVRS supports generation of an affidavit for the correction of a birth record by legitimation, pre-populated with information from the event record. It also allows user to enter the evidence information prior to printing.	Yes	
I4	Supplemental Report	EVRS supports the generation of a medical item amendment (Supplemental Report) form, which contains pre-populated data from the death record.	Yes	
I5	Removal Slip	For legacy records, print a single page with the new State File Number, removal date, and code citation.	Yes	
	LETTERS			
I6	Form Letter for Affidavit of Correction	A form letter containing instructions to requestors on how to submit an affidavit of correction so that their transaction can be processed.	Yes	
I7	Death Supplemental Form Letter	A letter regarding errors in the medical portion of a death certificate and requesting the recipient's concurrence to correct.	Yes	
I8	Delayed Death Form Letter	A request for additional information to process a delayed death certificate.	Yes	
I9	Instructions for name change Court Order	Instructions for requesting a name change on a birth record.	Yes	
I10	Instructions to Correct Death Form Letter	A letter informing the recipient that information on the death certificate is incorrect and providing instructions for making the correction.	Yes	
I11	Court Order Letter	A letter requesting missing information or fees for processing a court order.	Yes	

I12	**Adoption Form**	A letter requesting missing information or fees for processing an adoption.	Yes	
I13	**PAF More Information**	A letter requesting missing information or fees for processing an affidavit of paternity.	Yes	
I14	**Delayed Birth Certificate Instructions**	Instructions for filing a delayed certificate of birth.	Yes	
I15	**Affidavit for Delayed Birth Certificate**	A supporting affidavit for filing a delayed certificate of birth	Yes	
I16	**Delayed Birth Letter**	A request for additional information to process a delayed birth certificate.	Yes	
I17	**Delayed Birth filed with No Evidence Letter**	A letter stating that the birth record has been filed as a "delayed record" because it was filed 1 year or more after the birth. Letter states no evidence was used; or not enough evidence was provided. Letter is user defined and editable.	Yes	
I18	**Court Order to Establish Delayed Birth Letter**	A letter stating that the requestor must have a court order to establish a delayed birth certificate.	Yes	
I19	**Additional/insufficient Information Letter**	A letter indicating additional information is needed to process an amendment.	Yes	
I20	**Out of State Amendment letter**	A letter to the requestor indicating that the amendment must be processed in a different state and that documents are being returned.	Yes	
I21	**Out of State Adoption Letter for Requestor**	A letter to the requestor indicating that the adoption must be processed in the child's state of birth and that documents are being forwarded.	Yes	
I22	**Out of State Adoption Letter for State**	A letter to the child's state of birth, forwarding the adoption request received from adoptive parents.	Yes	
I23	**Additional Letters**	Additional letter templates may be generated by the State and added to EVRS by the Application Administrator or Configuration Manager.	Yes	
	REPORTS			
I24	**General Corrections and Amendments Report**	A report containing the number and timeliness of corrections/amendments completed by amendment code, produced on demand with month-to-date and year-to-date totals. Report needs to be broken out by user (and transaction type) and contain State office totals. Report can be run by employees showing type of transaction or by transaction type. Report contain subtotals and totals at appropriate breaks based on the sequence selected by the user. (NAPHSIS Report 28.0)	Yes	
I25	**Sealed Record Report**	Report printed on demand, by user, listing all case envelopes produced for the specified period of time (generally daily). Information on report includes: number of sealed records by user, type amendment and should include totals.	Yes	
I26	**Cause of Death Amendments**	Provide a report of all death certificate cause of death amendments registered within a user specified period of time. Includes numbers by user and totals for specified time period. Report is run on demand.	Yes	
		J - Request Letters and Reports		
	FORMS			
J1	**Application for Search of Census Records**	Application and instructions for a census search.	Yes	
J2	**Apostille and Certification**	A letter of instruction on how to obtain an apostille certification.	Yes	
	LETTERS			
J3	**Letter to Requestor no more amendments**	A letter to requestor indicating that amendments have previously been made on a certificate, and no further amendments may be made without a court order.	Yes	
J4	**No Record Found for birth**	Print a letter when a request for a certified copy results in no record being found in the database for birth.	Yes	

J5	No Record Found for death	Print a letter when a request for a certified copy results in no record being found in the database for death.	Yes	
J6	No Record Found for marriage	Print a letter when a request for a certified copy results in no record being found in the database for marriage.	Yes	
J7	No Record Found for divorce	Print a letter when a request for a certified copy results in no record being found in the database for divorce.	Yes	
J8	Missing Information or Money Due Letter	Print a letter to a customer who mailed in a request, explaining why the request cannot be processed and what to do to correct the situation.	Yes	
J9	Returned Money Letter	Print a letter to a customer who mailed in a request, explaining why the payment was returned and what to do to correct the situation.	Yes	
J10	Information Letter for Requests	A letter stating the types of records that are on file for each event type and the fee associated with each.	Yes	
J11	Letter of Ineligibility	A letter to a requestor indicating that the requestor is not eligible to receive a copy of the requested record.	Yes	
	REPORTS			
J12	Routine Requests Outstanding	A report used as a tracking tool to follow up on incomplete requests to find out why they are not complete.	Yes	
J13	Total Sales	Totals sales by month by request type, including searches that resulted in a record not found. The report indicates total sales in dollars and quantity.	Yes	
J14	Requests Filled Report	A report that provides, for a user-specified time period, the number of requests filled by the type of record (birth/death) for each user, including month-to-date and year-to-date figures. (NAPHSIS Report 23.0)	Yes	
J15	Problem Request Report	A report of the number of problem requests by status, type of problem, and length of time in the queue, for a selected time periods and employee. Problem types may include: bad address, ineligible applicant, fraud attempt, frequently requested record, name failure, etc. (NAPHSIS Report 27.0)	Yes	
J16	Request Receipt	A document to accompany a completed request, listing the items produced and the associated fees. Document format must conform to the format of existing mailing envelopes.	Yes	
J17	Report of Requests for copies of a Certificate	A report for a given record, showing the certified copies produced from the record, who requested them, and when.	Yes	
J18	Report of Requests by Requestor	A report showing all the certified copies produced as a result of a request from a particular requestor.	Yes	
J19	Certification and Verification Report	An on-demand report that provides, for a specified time period, the number of requests for certification/verification searches by selected requestors (genealogy, social services, child support, etc.) including the ability to report year-to-date figures. (NAPHSIS Report 25.0)	Yes	
		K - Accounting Reports		
K1	Invoices	Print invoices for funeral homes and state agencies who have charged services to their account, showing the open invoices and the amount due. Invoices include SFN and name of registrant. Invoices clearly distinguish between current balance and past due amount. Invoices include an invoice number.	Yes	
	REPORTS			

K2	Detailed Employee Receipts Report	A report showing each applicant for certificates (name, form/amount of payment, how request was received--walk-in, mail, etc.-- date/time entered into system, date/time closed), registrant requested (type of record--births and deaths--number of copies requested, name on record, date of event, how request was received, and who entered), and recipient of request (name, home and mailing address, and how provided), method of payment (cash, check, money order, etc.) and the safety paper number issued. Produced on demand for each employee. May also be produced by groups of staff or for all staff. This report is State defined. (NAPHSIS Report 3.0).	Yes	
K3	Daily Transactions on Account	A report showing each order that was charged to the account of a funeral home or other state agency. May be run for a specific day and/or date range.	Yes	
K4	Daily Payments on Account	A report showing each payment made for an accounts-receivable account (funeral home or state agency paying by interdepartmental billing claim).	Yes	
K5	Statement	Print a statement for internal use only, by a funeral establishment or state agency, listing orders, payments and closing balance for the period.	Yes	
K6	Breakdown of Fees Report	A report showing the day's business according to the breakdown of fees. Can be summary or detailed.	Yes	
K7	Sequential List of Receipts	A sequential list of receipts for the day for a given location (county, State). It includes check name and number for checks, and the request information.	Yes	
K8	Accounts Receivable Listing	A listing of all charges owed by a funeral home or agency. For internal use only.	Yes	
K9	Accounts Receivable History	An on-demand report showing the charges and payments made on selected account(s) for a selected period of time. For internal use only.	Yes	
K10	No Record Found Report	Number and receipts for "No Record Found" searches by type of event (birth, death, fetal death, amendments) and method of delivery (walk-in, standard mail, expedited, VitalChek, web). Produced on demand with year-to-date totals or for other time periods based on user selection at the time the report is run. (NAPHSIS Report 4.0)	Yes	
K11	Research Request Receipts	Number of research requests (government and other) processed and the dollars received by type of study (birth studies, death studies, other). Produced monthly with year-to-date totals. (NAPHSIS Report 6.0).	Yes	
K12	Invoice for fees	Invoices for selected counties showing fees assessed for processing of records, and to funeral homes for payment on account for death certificates. The invoices may be mailed or emailed.	Yes	
K13	Fees billed	A total of all fees billed for certified copies to governmental entities, by organization for a specified time period. For internal use only.	Yes	
K14	Monies Received by Event Type	Number and receipts by event type and type of payment for a specified date range and/or receipt number range. Produced on demand.	Yes	
K15	Monies Received by Event Type	Number and receipts by event type and type of payment for a specified date range and/or receipt number range. Produced on demand.	Yes	
K16	Refund report	Total refunds provided by event type and the user who provided the refund.	Yes	
		L - Inventory Reports		
	FORMS			
L1	Packing Slip	On demand, print a packing slip for inventory of items ordered through EVRS. Security paper orders include paper number range and/or numbers.	Yes	
L2	Receipt of Shipment	Produce a receipt of shipment that can be sent to State office by email/message or be printed.	Yes	

L3	Order Form	On demand, produce an order form for system users (hospitals, regional offices, etc.) to request forms or DCN paper from the State. Order form can be printed or emailed.	Yes	
	REPORTS			
L4	Detailed Monthly Usage	A monthly usage report listing the number of certified copies issued, voided forms, second copies, and optionally includes details of all certificates used or voided. Summarized by location and is generated for a designated period of time.	Yes	
L5	Summary Usage	A report summarizing security paper usage and voids. Generated on demand by site, for a range of dates.	Yes	
L6	Security Paper Assignment	Identification of forms assigned to a specific system user or location.	Yes	
	LETTERS			
L7	Discrepancy letter	A letter indicating discrepancy in security paper inventory, and requesting information to resolve the discrepancy. Letter may be printed or emailed.	Yes	
		M - Productivity/Audit Reports		
	REPORTS			
M1	Track Users With > 12 Death Records Per Year	The system provides a way to identify institutions or individuals who file more than 12 paper death records per year. System users or institutions that file more than 12 records per year to include an indicator of whether user of system and if so, breakdown of number of electronic vs. paper.	Yes	
M2	Report on Duplicate Records	A listing of potential duplicate records, selectable by event type. Produced on demand. (NAPHSIS Report 45.0).	Yes	
M3	Transmission reports	Beginning and ending certificate numbers of records sent to NCHS for births, deaths, fetal deaths. Also includes number ranges of missing records. Count of birth and death records sent to SSA. Reports are printed at the time each file is produced.	Yes	
M4	Import Reports	A report listing the number of records included in an import file and any errors for records not being imported. Report is electronic and may be printed each time a file is imported.	Yes	
M5	Staff Workload and Efficiency Listing	A listing of each document action in the queue showing the employee assigned, the type of record, service to be provided, date entered into the system or assigned, date closed and by whom, and the time for closure (in days). Produced on demand by user. (NAPHSIS Report 32.0)	Yes	
M6	Soft Edit Report	A standard report to provide an audit list of soft edits. Key data elements include record identifier and applicable fields.	Yes	
M7	NCHS Monthly Report	A report, produced on a monthly basis for NCHS, of the total monthly number of births, deaths, fetal deaths, marriages and divorces in the State.	Yes	
M8	"No answer/unknown" values management report	A management report allowing supervisors to identify users who consistently over-use "no answer/unknown" values, in order to provide additional training.	Yes	
M9	Staff Workload and Efficiency Report	Number of services provided and the average completion time (in days) by type of record and service. Produced weekly by user and monthly and/or annually on demand. (NAPHSIS Report 32.5).	Yes	
M10	Staff Acceptance and Rejection Report	Number of corrections/amendments processed and number and percent of corrections/amendments that were rejected by type of record. Produced on demand for each employee. (NAPHSIS Report 33.0).	Yes	

M11	**System compiles statistics for completed transactions**	A series of reports summarizing completed transactions and procedures, including number of certificates or records processed, number of amendments processed, number of incomplete requests, and number of requests filled for a given time period. Produced on demand.	Yes	
M12	**Key Entry of Vital Certificates Report**	Number of certificates key entered at Vital Statistics by type of certificate (birth, death, fetal death), showing the number and percentage of records flagged for correction and/or query. Produced by user showing daily, month-to-date, and year-to-date totals. May also be produced on demand. (NAPHSIS Report 35.0).	Yes	
M13	**Invalid Attempts Report**	A listing of users with invalid attempts equal to the threshold during login, showing name of user, user id, and institution. Produced on demand by the application administrator. (NAPHSIS Report 40.0).	Yes	
M14	**Log of Rejected Records**	A report, by event type, of records that were rejected for registration, and records which were "unlocked" at the State. Generated on demand, for a specified time period. State defined format and able to run by user.	Yes	
M15	**Death Registration Audit Report**	A summary of death records filed by funeral home and medical institution and by type of disposition, showing the average length of time between date of death and date of registration, the number and percentage of late registrations, and a comparison of the institution versus the State's overall timeliness average. The report is run on demand, and includes quarter-to-date, month-to-date and year-to-date totals for each funeral home and medical institution. This same report may be produced by medical certifier.	Yes	
M16	**Birth Registration Audit Report**	Number of birth records filed by medical institution and by type of disposition, showing the internal record number, the average length of time between date of birth and date of registration, the number and percentage of late registrations, and a comparison of the institution versus the state overall timeliness average. The report is run on demand and includes quarter-to-date, month-to-date and year-to-date totals for each medical institution.	Yes	
M17	**SFN Gaps**	Print a report of gaps in the SFN by event type including, voided certificate numbers. Voided certificates are clearly identified in the report. This report is done in Excel format.	Yes	

Purchasing Affidavit

A completed *Purchasing Affidavit* document follows this page.

STATE OF WEST VIRGINIA
Purchasing Division

PURCHASING AFFIDAVIT

CONSTRUCTION CONTRACTS: Under W. Va. Code § 5-22-1(i), the contracting public entity shall not award a construction contract to any bidder that is known to be in default on any monetary obligation owed to the state or a political subdivision of the state, including, but not limited to, obligations related to payroll taxes, property taxes, sales and use taxes, fire service fees, or other fines or fees.

ALL CONTRACTS: Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

EXCEPTION: The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

DEFINITIONS:

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment , fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Employer default" means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

"Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

AFFIRMATION: By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (W. *Va. Code* §61-5-3) that: (1) for construction contracts, the vendor is not in default on any monetary obligation owed to the state or a political subdivision of the state, and (2) for all other contracts, that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in **employer default as defined above, unless** the **debt or employer default is permitted under the exception above.**

WITNESS THE FOLLOWING SIGNATURE:

Vendor's Name · Netsmart Technologies, Inc.

Authorized Signature: [signature] Date: March 5, 2019

State of Kansas

County of Johnson, to-wit:

Taken, subscribed, and sworn to before me this 5th day of March, 2019.

My Commission expires August 30, 2020.

AFFIX SEAL HERE

KERRY L. REBER
Notary Public, State of Kansas
My Appointment Expires
8/30/2020

NOTARY PUBLIC- Kerry L Reber

Disclosure of Interested Parties to Contract

A completed *Disclosure of Interested Parties* to Contract document follows this page.

West Virginia Ethics Commission

Disclosure of Interested Parties to Contracts

Pursuant to *VII, Va. Code§* 60-1-2, a state agency may not enter into a contract, or a series of related contracts, that has/have an actual or estimated value of $1 million or more until the business entity submits to the contracting state agency a Disclosure of Interested Parties to the applicable contract. In addition, the business entity awarded a contract is obligated to submit a supplemental Disclosure of Interested Parties reflecting any new or differing interested parties to the contract within 30 days following the completion or termination of the applicable contract.

For purposes of complying with these requirements, the following definitions apply:

"Business entity" means any entity recognized by law through which business is conducted, including a sole proprietorship, partnership or corporation, but does not include publicly traded companies listed on a national or international stock exchange.

"Interested party" or *"Interested parties"* means:

(1) A business entity performing work or service pursuant to, or in furtherance of, the applicable contract, including specifically sub-contractors;
(2) the person(s) who have an ownership interest equal to or greater than 25% in the business entity performing work or service pursuant to, or in furtherance of, the applicable contract. (This subdivision does not apply to a publicly traded company); and
(3) the person or business entity, if any, that served as a compensated broker or intermediary to actively facilitate the applicable contract or negotiated the terms of the applicable contract with the state agency. (This subdivision does not apply to persons or business entities performing legal services related to the negotiation or drafting of the applicable contract.)

"State agency" means a board, commission, office, department or other agency in the executive, judicial or legislative branch of state government, including publicly funded institutions of higher education: Provided, that for purposes of W. Va. Code§ 6D-1-2, the West Virginia Investment Management Board shall not be deemed a state agency nor subject to the requirements of that provision.

The contracting business entity must complete this form and submit it to the contracting state agency prior to contract award and to complete another form within 30 days of contract completion or termination.

This form was created by the State of West Virginia Ethics Commission, 210 Brooks Street, Suite 300, Charleston, WV 25301-1804. Telephone: (304)558-0664; fax: (304)558-2169; e-mail: ethics@wv.gov; website: www.ethics.wv.gov .

West Virginia Ethics Commission

Disclosure of Interested Parties to Contracts

(Required by *W. Va. Code* § 60-1-2)

Name of Contracting Business Entity: Netsmart Technologies, Inc. **Address:** 4950 College Blvd., Overland Park, KS 66211

Name of Authorized Agent: Anthony Ritz **Address:** 4950 College Blvd., Overland Park, KS 66211

Contract Number: Not Applicable **Contract Description:** Not Applicable

Governmental agency awarding contract:

☐ **Check here if this is a Supplemental Disclosure**

List the Names of Interested Parties to the contract which are known or reasonably anticipated by the contracting business entity for each category below *(attach additional pages if necessary):*

1. **Subcontractors or other entities performing work or service under the Contract**
   X ☐ Check here if none, otherwise list entity/individual names below.

2. **Any person or entity who owns 25% or more of contracting entity (not applicable to publicly traded entities)**
   X ☐ Check here if none, otherwise list entity/individual names below.

3. **Any person or entity that facilitated, or negotiated the terms of, the applicable contract (excluding legal services related to the negotiation or drafting of the applicable contract)**
   X ☐ Check here if none, otherwise list entity/individual names below.

Signature: Anthony J. Ritz Date Signed: March 5, 2019

Notary Verification

State of Kansas, County of Johnson

I, Kerry L. Reber, the authorized agent of the contracting business entity listed above, being duly sworn, acknowledge that the Disclosure herein is being made under oath and under the penalty of perjury.

Taken, sworn to and subscribed before me this 5th day of March 2019.

Kerry L. Reber
Notary Public's Signature

To be completed by State Agency:

Date Received by State Agency:
Date submitted to Ethics Commission:
Governmental agency submitting Disclosure:

KERRY L. REBER
Notary Public, State of Kansas
My Appointment Expires 8/30/2020

Business License

A current *business license* for the State of West Virginia follows this page.

STATE OF WEST VIRGINIA
State Tax Department, Tax Account Administration Div
P. O. Box 2666
Charleston, WV 25330-2666

Earl Ray Tomblin, Governor **Craig A. Griffith, Tax Commissioner**

0000150201000

NETSMART TECHNOLOGIES, INC.
3500 SUNRISE HWY STE D122
GREAT RIVER NY 11739-1001

Letter Id: L1478427264
Issued: 07/20/2011
Account #: 2233-4237

RE: Business Registration Certificate

The West Virginia State Tax Department would like to thank you for registering your business. Enclosed is your Business Registration Certificate. This certificate shall be permanent until cessation of business or until suspended, revoked or cancelled. Changes in name, ownership or location are considered a cessation of business; a new Business Registration Certificate and applicable fees are required. Please review the certificate for accuracy.

This certificate must be prominently displayed at the location for which issued. Engaging in business without conspicuously posting a West Virginia Business Registration Certificate in the place of business is a crime and may subject you to fines per W.Va. Code § 11-9.

When contacting the State Tax Department, refer to the appropriate account number listed on the back of this page. The taxes listed may not be all the taxes for which you are responsible. Account numbers for taxes are printed on the tax returns mailed by the State Tax Department. Failure to timely file tax returns may result in penalties for late filing.

Should the nature of your business activity or business ownership change, your liability for these and other taxes will change accordingly.

To learn more about these taxes and the services offered by the West Virginia State Tax Department, visit our web site at www.wvtax.gov.

Enclosure

atL006 v.4

Save a stamp and your time. You can now view, file and pay taxes at https://mytaxes.wvtax.gov
More taxes will be available for online access in the future.

TAX	FILING FREQUENCY	ACCOUNT NUMBER
Business Registration Tax		2233-4237
Combined Sales & Use Tax	Monthly	2234-6392
Corp. Income & Franchise Tax	Annual	2233-4239
Corporation License Tax	Annual	2233-4238

WEST VIRGINIA
STATE TAX DEPARTMENT
BUSINESS REGISTRATION CERTIFICATE

ISSUED TO:

NETSMART TECHNOLOGIES, INC.
3500 SUNRISE HWY D122
GREAT RIVER, NY 11739-1001

BUSINESS REGISTRATION ACCOUNT NUMBER: **2233-4237**

This certificate is issued on: **07/20/2011**

This certificate is issued by the West Virginia State Tax Commissioner in accordance with Chapter 11, Article 12, of the West Virginia Code

The person or organization identified on this certificate is registered to conduct business in the State of West Virginia at the location above.

This certificate is not transferrable and must be displayed at the location for which issued.

This certificate shall be permanent until cessation of the business for which the certificate of registration was granted or until it is suspended, revoked or cancelled by the Tax Commissioner.

Change in name or change of location shall be considered a cessation of the business and a new certificate shall be required.

TRAVELING/STREET VENDORS: Must carry a copy of this certificate in every vehicle operated by them.
CONTRACTORS, DRILLING OPERATORS, TIMBER/LOGGING OPERATIONS: Must have a copy of this certificate displayed at every job site within West Virginia.

atL006 v.4
L1478427264

Proposed WVDHHR Project Plan

A Proposed WVDHHR Project Plan follows this page.

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
1	**0%**	**Electronic Vital Records System (VRS-NX)**	**824 days**	**Mon 1/6/20**	**Thu 3/2/23**		
2	**0%**	**VRS-NX Implementation: Phase 1: Death, CAS, Phase 2: Birth, Fetal Death, Phase 3: ITOP**	**824 days**	**Mon 1/6/20**	**Thu 3/2/23**		
3	0%	Contract Signing	15 days	Mon 1/6/20	Fri 1/24/20		
4	**0%**	**Project Planning and Kick-Off - Phase 1**	**54.5 days**	**Mon 1/6/20**	**Fri 3/20/20**		
5	**0%**	**Hosting: Hardware and Software Requirements**	**54.5 days**	**Mon 1/6/20**	**Fri 3/20/20**		
6	0%	Review NX Architecture Requirements	2 days	Mon 1/6/20	Tue 1/7/20	3FS-15 day	
7	**0%**	**Technical Environment Setup and Install VRS-NX**	**54.5 days**	**Mon 1/6/20**	**Fri 3/20/20**		
8	**0%**	**Install Hardware/Software**	**43 days**	**Wed 1/8/20**	**Fri 3/6/20**		
9	0%	Install Hardware/Software	15 days	Wed 1/8/20	Tue 1/28/20	6	
10	0%	Integrate with Network	15 days	Wed 1/29/20	Tue 2/18/20	9	
11	0%	Verify Hardware/Software Readiness	8 days	Wed 2/19/20	Fri 2/28/20	10	
12	0%	Setup Netsmart Access to State Environment	5 days	Mon 3/2/20	Fri 3/6/20	11	
13	**0%**	**Application Environment Setup**	**54.5 days**	**Mon 1/6/20**	**Fri 3/20/20**		
14	**0%**	**Development Environment (Netsmart)**	**6 days**	**Mon 3/9/20**	**Mon 3/16/20**		
15	0%	Setup Development VRS-NX Environment	2 days	Mon 3/9/20	Tue 3/10/20	8	
16	0%	Install Global (Netsmart VRS Framework)	2 days	Wed 3/11/20	Thu 3/12/20	15	
17	0%	Install Death events into Development Environment (Netsmart Site)	2 days	Fri 3/13/20	Mon 3/16/20	16	
18	0%	Install CAS events into Development Environment (Netsmart Site)	1 day	Wed 3/11/20	Wed 3/11/20	15	
19	0%	Establish Development Environment Backup Procedures	1 day	Wed 3/11/20	Wed 3/11/20	15	
20	0%	Notification that Development Environment is Complete	1 day	Fri 3/13/20	Fri 3/13/20	16	
21	**0%**	**Test (Sandbox), Training and Production Environment (State)**	**53 days**	**Mon 1/6/20**	**Wed 3/18/20**		
22	0%	Setup Test, Training and Production VRS-NX Environments	5 days	Mon 3/9/20	Fri 3/13/20	8	
23	0%	Install Global (Netsmart VRS Framework)	2 days	Mon 3/16/20	Tue 3/17/20	22	
24	**0%**	**Install Base Events**	**52.5 days**	**Mon 1/6/20**	**Wed 3/18/20**		
25	0%	Death Event	4 hrs	Wed 3/18/20	Wed 3/18/20	23	
26	0%	CAS Event	1 day	Mon 1/6/20	Mon 1/6/20		
27	0%	Verify Installation	4 hrs	Wed 3/18/20	Wed 3/18/20	25,23	
28	0%	Netsmart Provides Knowledge Transfer during all installation activities	2 days	Wed 3/18/20	Fri 3/20/20	25	
29	**0%**	**Project Plan & Schedule**	**30 days**	**Mon 1/13/20**	**Fri 2/21/20**		
30	0%	Netsmart Develops Project Plan and Schedule	10 days	Mon 1/13/20	Fri 1/24/20	3FS-10 day	
31	0%	Netsmart Develops Communication Plan	5 days	Mon 1/27/20	Fri 1/31/20	30	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
32	0%	State Review of Project Plan, Communication Plan, and Project Schedule	5 days	Mon 2/3/20	Fri 2/7/20	30,31	
33	0%	Netsmart Upates Project Plan and Schedule per feedback from State Comments	5 days	Mon 2/10/20	Fri 2/14/20	32	
34	0%	Final Review and Approval of Project Plan, Communication Plan, and Schedule	5 days	Mon 2/17/20	Fri 2/21/20	33	
35	0%	Setup Project Status Calls and Reporting	1 day	Mon 2/17/20	Mon 2/17/20	33	
36	**0%**	**Project Kickoff**	**13 days**	**Mon 2/10/20**	**Wed 2/26/20**		
37	0%	Prepare Agenda and Schedule Meeting	5 days	Mon 2/10/20	Fri 2/14/20	29FS-10 da	
38	0%	On-Site Meeting	2 days	Mon 2/17/20	Tue 2/18/20	37	
39	0%	Schedule Solution Review Meetings	1 day	Wed 2/26/20	Wed 2/26/20	38FS+5 day	
40	**0%**	**Solution Review**	**131.5 days?**	**Mon 1/6/20**	**Tue 7/7/20**		
41	**0%**	**Solution Review Meetings (On-Site)**	**54 days**	**Mon 1/6/20**	**Thu 3/19/20**		
42	**0%**	**Demonstrate VRS-NX Solution**	**1.5 days**	**Wed 3/18/20**	**Thu 3/19/20**		
43	0%	User Authentication, Navigation, Searching,User Roles and Profiles	2 hrs	Wed 3/18/20	Wed 3/18/20	4FS-2 days	
44	0%	New User Set Up	3 hrs	Wed 3/18/20	Thu 3/19/20	43	
45	0%	Death Event	4 hrs	Thu 3/19/20	Thu 3/19/20	44	
46	0%	CAS	3 hrs	Thu 3/19/20	Thu 3/19/20	45	
47	0%	Data Conversion discussion	4 hrs	Mon 1/6/20	Mon 1/6/20		
48	**0%**	**Requirement Review**	**4 days**	**Mon 2/3/20**	**Fri 2/7/20**		
49	**0%**	**Requirement Review Sessions**	**4 days**	**Mon 2/3/20**	**Fri 2/7/20**	**47FS+20 da**	
50	0%	Requirement Review Session - General Workflows	1 day	Mon 2/3/20	Tue 2/4/20		
51	0%	Requirement Review Session - Financial (Netsmart VRS CAS)	1 day	Tue 2/4/20	Wed 2/5/20	50	
52	0%	Requirement Review Session - Death	1 day	Wed 2/5/20	Thu 2/6/20	51	
53	0%	Requirement Review Session - Reports	1 day	Thu 2/6/20	Fri 2/7/20	52	
54	**0%**	**Requirement Review Session - Exports/Imports/Interfaces**	**1 day**	**Fri 2/7/20**	**Mon 2/10/20**		
55	0%	Interface - NCHS SSA/OVS2/VIEWS2	1 day	Fri 2/7/20	Mon 2/10/20	53	
56	0%	Interface - STEVE/EVVE	1 day	Fri 2/7/20	Mon 2/10/20	53	
57	0%	Interface - VitalCheck	1 day	Fri 2/7/20	Mon 2/10/20	53	
58	**0%**	**Design**	**46 days**	**Mon 2/24/20**	**Tue 4/28/20**		
59	**0%**	**Application Requirements**	**46 days**	**Mon 2/24/20**	**Tue 4/28/20**		
60	0%	Prepare Software Requirements Specifications (SRS) Document	10 days	Mon 2/24/20	Mon 3/9/20	57FS+10 days	
61	0%	Review SRS Document with State	5 days	Mon 3/9/20	Mon 3/16/20	60	
62	0%	Incorporate Updates from Review into SRS Document	10 days	Mon 3/16/20	Mon 3/30/20	61	
63	0%	Final Review and Approval of SRS Document	8 days	Mon 3/30/20	Tue 4/28/20	62	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
64	**0%**	**Data Conversion Planning**	**36 days**	**Mon 2/24/20**	**Tue 4/14/20**		
65	0%	Document Conversion and Migration Objectives	0.5 days	Mon 2/24/20	Mon 2/24/20	57FS+10 da	
66	0%	Data Dictionary & Data Schema	1 day	Tue 2/25/20	Tue 2/25/20	65	
67	0%	Review tools and techniques used in conversion and migration processes	1 day	Wed 2/26/20	Wed 2/26/20	66	
68	0%	Review Netsmart and State roles and responsibilities	0.5 days	Thu 2/27/20	Thu 2/27/20	67	
69	0%	Define conversion and migration strategy and methodology	1 day	Thu 2/27/20	Fri 2/28/20	68	
70	0%	Define strategy for migrating all images	1 day	Fri 2/28/20	Mon 3/2/20	69	
71	0%	Agree on final specifications on all data and images to be migrated	1 day	Mon 3/2/20	Tue 3/3/20	70	
72	0%	Develop data validation methodology including key metrics, problems, tools and recommendations on partial or non-converted records	10 days	Tue 3/3/20	Tue 3/17/20	71	
73	0%	Netsmart provides Data Migration / Conversion Plan to State for feedback	0 days	Tue 3/17/20	Tue 3/17/20	72	
74	0%	State review and feedback on Data Conversion / Migration Plan	5 days	Tue 3/17/20	Tue 3/24/20	73	
75	0%	Netsmart Updates plan based on feedback from State	5 days	Tue 3/24/20	Tue 3/31/20	74	
76	0%	Final Review and Approval of Data Conversion / Migration Plan	10 days	Tue 3/31/20	Tue 4/14/20	75	
77	**0%**	**Build**	**70.5 days?**	**Tue 3/31/20**	**Tue 7/7/20**		
78	**0%**	**Engineering Development**	**20 days**	**Tue 4/28/20**	**Tue 5/26/20**		
79	0%	Engineering Development - Global (Netsmart VRS Framework)	20 days	Tue 4/28/20	Tue 5/26/20	63	
80	0%	Global Event Configurations	20 days	Tue 4/28/20	Tue 5/26/20	63	
81	**0%**	**VRS-NX Configuration/Customization**	**30 days**	**Tue 5/26/20**	**Tue 7/7/20**		
82	**0%**	**Death**	**30 days**	**Tue 5/26/20**	**Tue 7/7/20**		
83	0%	Death Screens Configurations	30 days	Tue 5/26/20	Tue 7/7/20	80	
84	**0%**	**CAS**	**30 days**	**Tue 5/26/20**	**Tue 7/7/20**		
85	0%	CAS Screens Configuration	30 days	Tue 5/26/20	Tue 7/7/20	80	
86	**0%**	**Interfaces**	**10 days**	**Tue 5/26/20**	**Tue 6/9/20**		
87	0%	Interface Configuration (STEVE/EVVE)	10 days	Tue 5/26/20	Tue 6/9/20	80	
88	0%	Interface Configuration (OVS)	10 days	Tue 5/26/20	Tue 6/9/20	80	
89	0%	Interface Configuration (VitalCheck)	10 days	Tue 5/26/20	Tue 6/9/20	80	
90	**0%**	**Data Conversion Build**	**31 days**	**Tue 3/31/20**	**Tue 5/12/20**		
91	0%	Develop / Update conversion and migration programs and scripts	20 days	Tue 3/31/20	Tue 4/28/20	75	
92	0%	Develop crosswalk tables that map all sources to targets	10 days	Tue 4/28/20	Tue 5/12/20	91	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
93	**0%**	**Final Review and Validation**	**11 days**	**Tue 7/7/20**	**Tue 7/21/20**		
94	0%	Demonstrate Final Configured Soution	0 days	Tue 7/7/20	Tue 7/7/20	85	
95	**0%**	**Death**	**9.5 days**	**Tue 7/7/20**	**Mon 7/20/20**		
96	0%	Death Event Walk-through and Demonstrated in Test Environment	4 hrs	Tue 7/7/20	Tue 7/7/20	85	
97	0%	Review Period	5 days	Wed 7/8/20	Tue 7/14/20	96	
98	0%	Netsmart Correct Deficiencies until approved by State (if needed)	3 days	Wed 7/15/20	Fri 7/17/20	97	
99	0%	State Gives Final Approval	1 day	Mon 7/20/20	Mon 7/20/20	98	
100	0%	Provide User Documentation - Death	8 days	Tue 7/7/20	Fri 7/17/20	94	
101	0%	Provide Technical Documentation -business specific and system support processes.	8 days	Tue 7/7/20	Fri 7/17/20	94	
102	**0%**	**CAS**	**11 days**	**Tue 7/7/20**	**Tue 7/21/20**		
103	0%	CAS Event Walk--through and Demontrated in Test Environment	1 day	Tue 7/7/20	Wed 7/8/20	85	
104	0%	Review Period	5 days	Wed 7/8/20	Wed 7/15/20	103	
105	0%	Netsmart Correct Deficiencies until approved by State (if needed)	3 days	Wed 7/15/20	Mon 7/20/20	104	
106	0%	State Gives Final Approval	1 day	Mon 7/20/20	Tue 7/21/20	105	
107	0%	Provide User Documentation - CAS	8 days	Tue 7/7/20	Fri 7/17/20	94	
108	0%	Provide Technical Documentation -business specific and system support processes.	8 days	Tue 7/7/20	Thu 7/16/20		
109	**0%**	**Testing**	**139.5 days**	**Tue 4/14/20**	**Mon 10/26/20**		
110	**0%**	**Data Conversion Testing**	**53 days**	**Tue 4/14/20**	**Fri 6/26/20**		
111	**0%**	**Data Conversion / Image Migration Partial Data Testing**	**41 days**	**Tue 4/14/20**	**Wed 6/10/20**		
112	0%	DataConversion Environemnt Setup/Access	10 days	Tue 4/14/20	Tue 4/28/20	64	
113	0%	State Provides partial Data Conversion and Image Files	5 days	Tue 4/28/20	Tue 5/5/20	112	
114	0%	Run Conversion / Migration Routines	10 days	Tue 5/5/20	Fri 5/22/20	113	
115	0%	Test Load partial Conversion Data and Images	5 days	Fri 5/22/20	Fri 5/29/20	114	
116	0%	Report Conversion Statistics, Exceptions	5 days	Fri 5/22/20	Fri 5/29/20	114	
117	0%	Make Conversion Adjustments - Input Files/Load Routines	5 days	Fri 5/29/20	Fri 6/5/20	115	
118	0%	Repeat Partial Data Testing	3 days	Fri 6/5/20	Wed 6/10/20	117	
119	**0%**	**Data Conversion/Migration Complete Data Testing**	**12 days**	**Wed 6/10/20**	**Fri 6/26/20**		
120	0%	State Provides full Data Conversion and Image Files	2 days	Wed 6/10/20	Fri 6/12/20	118	
121	0%	Test Load full Conversion Data	5 days	Fri 6/12/20	Fri 6/19/20	120	
122	0%	Report Conversion Statistics, Exceptions	5 days	Fri 6/12/20	Fri 6/19/20	120	
123	0%	Make Final Conversion Adjustments - Input Files/Load Routines	3 days	Fri 6/19/20	Wed 6/24/20	122	
124	0%	Repeat Complete Data Testing	2 days	Wed 6/24/20	Fri 6/26/20	123	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
125	**0%**	**Defect Tracking Plan**	**5 days**	**Wed 7/22/20**	**Tue 7/28/20**		
126	0%	Netsmart provides written methodolgy detailing how defects found during Test phase will be reported and tracked.	5 days	Wed 7/22/20	Tue 7/28/20	93	
127	**0%**	**Test Plan and Scripts**	**13 days**	**Wed 7/29/20**	**Fri 8/14/20**		
128	0%	State creates Test Plan and test scripts with assistance of Netsmart.est Plan and Scripts	10 days	Wed 7/29/20	Tue 8/11/20	126	
129	0%	Netsmart Review of Test Plan and Scripts	2 days	Wed 8/12/20	Thu 8/13/20	128	
130	0%	Netsmart Approval of Test Plan and Test Scripts	1 day	Fri 8/14/20	Fri 8/14/20	129	
131	0%	Review & Sign-off - Test phase	0 days	Fri 8/14/20	Fri 8/14/20	130	
132	**0%**	**Testing Event (On-Site)**	**11 days**	**Mon 8/17/20**	**Mon 8/31/20**		
133	**0%**	**Testing Training (Conducted by Netsmart)**	**11 days**	**Mon 8/17/20**	**Mon 8/31/20**		
134	0%	State identifies selected State staff and stakeholders	2 days	Mon 8/17/20	Tue 8/18/20	130	
135	0%	Netsmart develops and delivers Training Materials	5 days	Wed 8/19/20	Tue 8/25/20	134	
136	0%	Netsmart delivers onsite Training prior to Testing execution	2 days	Wed 8/26/20	Thu 8/27/20	135	
137	0%	Training Evaluation Process & Feedback	2 days	Fri 8/28/20	Mon 8/31/20	136	
138	**0%**	**Testing Execution**	**40 days**	**Tue 9/1/20**	**Mon 10/26/20**		
139	0%	Run Test Scenarios / Verify Results / enter issues into IMS	10 days	Tue 9/1/20	Mon 9/14/20	137	
140	0%	Netsmart corrects problems as identified (continuous during Test phase)	10 days	Tue 9/15/20	Mon 9/28/20	139	
141	0%	Weekly Reporting (Results, Problem/Resolution log)	10 days	Tue 9/29/20	Mon 10/12/20	140	
142	0%	Netsmart Re-configures, Tests, Delivers Updates	10 days	Tue 10/13/20	Mon 10/26/20	141	
143	0%	State Acceptance of Birth Modules	0 days	Mon 10/26/20	Mon 10/26/20	142	
144	**0%**	**Go-Live Preperation**	**20 days**	**Tue 10/27/20**	**Mon 11/23/20**		
145	**0%**	**State Develops Go Live Implementation Plan with assistance from Netsmart**	**20 days**	**Tue 10/27/20**	**Mon 11/23/20**		
146	0%	Define Go / No Go Criteria	2 days	Tue 10/27/20	Wed 10/28/20	109	
147	0%	Define Go Live Procedures	3 days	Thu 10/29/20	Mon 11/2/20	146	
148	0%	Define Roll-Back Procedures	3 days	Tue 11/3/20	Thu 11/5/20	147	
149	0%	Define Training Plan Schedule	3 days	Fri 11/6/20	Tue 11/10/20	148	
150	0%	Define On-Site Support Procedures	2 days	Wed 11/11/20	Thu 11/12/20	149	
151	0%	Define Help Desk Procedures	4 days	Fri 11/13/20	Wed 11/18/20	150	
152	0%	Define Off-Site Support Procedures	3 days	Thu 11/19/20	Mon 11/23/20	151	
153	0%	Sign-Off on Go-Live Plan	0 days	Mon 11/23/20	Mon 11/23/20	152	
154	0%	Netsmart assists the State with final Production Environment updates	3 days	Tue 10/27/20	Thu 10/29/20	109	
155	0%	Netsmart makes any final changes to system identified during implementation	3 days	Tue 10/27/20	Thu 10/29/20	109	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
156	**0%**	**Maintenance Training**	**5 days**	**Tue 11/24/20**	**Mon 11/30/20**		
157	0%	Netsmart Trains State Trainers on VRS-NX Application (Onsite)	5 days	Tue 11/24/20	Mon 11/30/20	153	
158	0%	Netsmart Trains State Staff on VRS-NX System and Application Administration (Onsite)	5 days	Tue 11/24/20	Mon 11/30/20	153	
159	**0%**	**Go-Live (On- Site)**	**11 days**	**Fri 11/27/20**	**Fri 12/11/20**		
160	**0%**	**Go-Live Execution**	**11 days**	**Fri 11/27/20**	**Fri 12/11/20**		
161	**0%**	**Data Conversion and Migration**	**4 days**	**Fri 11/27/20**	**Wed 12/2/20**		
162	**0%**	**Final Data Conversion and Image Migration**	**4 days**	**Fri 11/27/20**	**Wed 12/2/20**		
163	0%	Data Conversion and migration of images for Birth	2 days	Fri 11/27/20	Mon 11/30/20	153FS+3 da	
164	0%	Conversion of All Data & Reference Tables	2 days	Tue 12/1/20	Wed 12/2/20	163	
165	**0%**	**Install Customized/Configured Solution in Production Environment**	**0.5 days**	**Fri 11/27/20**	**Fri 11/27/20**		
166	0%	Death Events	4 hrs	Fri 11/27/20	Fri 11/27/20	153FS+3 da	
167	0%	Netsmart & State assists users with understanding the functionality and practical use of the system	4 days	Fri 11/27/20	Wed 12/2/20	153FS+3 days	
168	0%	State identifies defects in the system	5 days	Thu 12/3/20	Wed 12/9/20	167	
169	0%	State evaluates system effectiveness against the establish goals and exit criteria	5 days	Thu 12/3/20	Wed 12/9/20	167	
170	0%	Go-Live Sign-Off	2 days	Thu 12/10/20	Fri 12/11/20	169	
171	**0%**	**Post Go-Live**	**1055 days?**	**Fri 12/29/17**	**Thu 1/13/22**		
172	0%	Transition to Support	1 day	Mon 1/11/21	Mon 1/11/21	170FS+20 d	
173	**0%**	**System Warranty**	**1055 days?**	**Fri 12/29/17**	**Thu 1/13/22**		
174	0%	Warranty Period - Twelve (12) Months	263 days	Tue 1/12/21	Thu 1/13/22	172	
175	0%	Warranty Period Support Services	263 days	Tue 1/12/21	Thu 1/13/22	172	
176	0%	Updated Documentation	263 days	Tue 1/12/21	Thu 1/13/22	172	
177	0%	Release Notes	263 days	Tue 1/12/21	Thu 1/13/22	172	
178	**0%**	**Support Hours (Mon-Fri 8:00am-6:00pm EST)**	**263 days**	**Wed 12/25/19**	**Mon 12/28/20**	**172**	
179	0%		0 days	Fri 12/29/17	Fri 12/29/17		
180	**0%**	**Phase 2: Birth and Fetal Death**	**678 days?**	**Tue 7/28/20**	**Thu 3/2/23**		
181	**0%**	**Install Base Events**	**3 days**	**Tue 1/12/21**	**Thu 1/14/21**	**172**	
182	0%	Birth Event	1 day	Tue 1/12/21	Tue 1/12/21		
183	0%	Fetal Death Event	1 day	Tue 1/12/21	Tue 1/12/21		
184	0%	Verify Installation	1 day	Wed 1/13/21	Wed 1/13/21	183	
185	0%	Netsmart Provides Knowledge Transfer during all installation activities	1 day	Thu 1/14/21	Thu 1/14/21	184	
186	**0%**	**Project Plan & Schedule**	**31 days**	**Mon 11/30/20**	**Mon 1/11/21**		
187	0%	Netsmart Develops Project Plan and Schedule	10 days	Mon 11/30/20	Fri 12/11/20	170FS-10 d	
188	0%	Netsmart Develops Communication Plan	5 days	Mon 12/14/20	Fri 12/18/20	187	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
189	0%	State Review of Project Plan, Communication Plan, and Project Schedule	5 days	Mon 12/21/20	Fri 12/25/20	188	
190	0%	Netsmart Upates Project Plan and Schedule per feedback from State Comments	5 days	Mon 12/28/20	Fri 1/1/21	189	
191	0%	Final Review and Approval of Project Plan, Communication Plan, and Schedule	5 days	Mon 1/4/21	Fri 1/8/21	190	
192	0%	Setup Project Status Calls and Reporting	1 day	Mon 1/11/21	Mon 1/11/21	191	
193	**0%**	**Project Kickoff**	**62 days**	**Tue 1/12/21**	**Wed 4/7/21**		
194	0%	Prepare Agenda and Schedule Meeting	5 days	Tue 1/12/21	Mon 1/18/21	192	
195	0%	On-Site Meeting	2 days	Tue 4/6/21	Wed 4/7/21	172FS+60 c	
196	0%	Schedule Solution Review Meetings	1 day	Tue 1/12/21	Tue 1/12/21	192	
197	**0%**	**Solution Review**	**298 days?**	**Thu 4/8/21**	**Mon 5/30/22**		
198	**0%**	**Solution Review Meetings (On-Site)**	**14.38 days**	**Thu 4/8/21**	**Wed 4/28/21**		
199	**0%**	**Demonstrate VRS-NX Solution**	**0.5 days**	**Thu 4/8/21**	**Thu 4/8/21**		
200	0%	User Authentication, Navigation, Searching,User Roles and Profiles	2 hrs	Thu 4/8/21	Thu 4/8/21	195	
201	0%	New User Set Up	3 hrs	Thu 4/8/21	Thu 4/8/21	195	
202	0%	Birth Event	4 hrs	Thu 4/8/21	Thu 4/8/21	195	
203	0%	Fetal Death	3 hrs	Thu 4/8/21	Thu 4/8/21	195	
204	0%	Data Conversion discussion	4 hrs	Thu 4/8/21	Thu 4/8/21	195	
205	**0%**	**Requirement Review**	**4 days**	**Thu 4/22/21**	**Wed 4/28/21**		
206	**0%**	**Requirement Review Sessions**	**4 days**	**Thu 4/22/21**	**Wed 4/28/21**		
207	0%	Requirement Review Session - General Workflows	1 day	Thu 4/22/21	Fri 4/23/21	203FS+10 c	
208	0%	Requirement Review Session - Birth	1 day	Fri 4/23/21	Mon 4/26/21	207	
209	0%	Requirement Review Session - Fetal Death	1 day	Mon 4/26/21	Tue 4/27/21	208	
210	0%	Requirement Review Session - Reports	1 day	Tue 4/27/21	Wed 4/28/21	209	
211	**0%**	**Requirement Review Session - Exports/Imports/Interfaces**	**1 day**	**Tue 4/27/21**	**Wed 4/28/21**		
212	0%	Interface - NCHS SSA/OVS2/VIEWS2	1 day	Tue 4/27/21	Wed 4/28/21	209	
213	0%	Interface - STEVE/EVVE	1 day	Tue 4/27/21	Wed 4/28/21	209	
214	0%	Interface - VitalCheck	1 day	Tue 4/27/21	Wed 4/28/21	209	
215	**0%**	**Design**	**36 days**	**Wed 5/12/21**	**Thu 7/1/21**		
216	**0%**	**Application Requirements**	**16 days**	**Wed 5/12/21**	**Thu 6/3/21**		
217	0%	Prepare Software Requirements Specifications (SRS) Document	10 days	Wed 5/12/21	Wed 5/26/21	214FS+10 days	
218	0%	Review SRS Document with State	1 day	Wed 5/26/21	Thu 5/27/21	217	
219	0%	Incorporate Updates from Review into SRS Document	3 days	Thu 5/27/21	Tue 6/1/21	218	
220	0%	Final Review and Approval of SRS Document	2 days	Tue 6/1/21	Thu 6/3/21	219	
221	**0%**	**Data Conversion Planning**	**36 days**	**Wed 5/12/21**	**Thu 7/1/21**		

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
222	0%	Document Conversion and Migration Objectives	0.5 days	Wed 5/12/21	Wed 5/12/21	214FS+10 c	
223	0%	Data Dictionary& Data Schema	1 day	Wed 5/12/21	Thu 5/13/21	222	
224	0%	Review tools and techniques used in conversion and migration processes	1 day	Thu 5/13/21	Fri 5/14/21	223	
225	0%	Review Netsmart and State roles and responsibilities	0.5 days	Fri 5/14/21	Mon 5/17/21	224	
226	0%	Define conversion and migration strategy and methodology	1 day	Mon 5/17/21	Tue 5/18/21	225	
227	0%	Define strategy for migrating all images	1 day	Tue 5/18/21	Wed 5/19/21	226	
228	0%	Agree on final specifications on all data and images to be migrated	1 day	Wed 5/19/21	Thu 5/20/21	227	
229	0%	Develop data validation methodology including key metrics, problems, tools and recommendations on partial or non-converted records	10 days	Thu 5/20/21	Thu 6/3/21	228	
230	0%	Netsmart provides Data Migration / Conversion Plan to State for feedback	0 days	Thu 6/3/21	Thu 6/3/21	229	
231	0%	State review and feedback on Data Conversion / Migration Plan	5 days	Thu 6/3/21	Thu 6/10/21	230	
232	0%	Netsmart Updates plan based on feedback from State	5 days	Thu 6/10/21	Thu 6/17/21	231	
233	0%	Final Review and Approval of Data Conversion / Migration Plan	10 days	Thu 6/17/21	Thu 7/1/21	232	
234	**0%**	**Build**	**298 days?**	**Tue 7/28/20**	**Thu 9/16/21**		
235	**0%**	**Engineering Development**	**22 days**	**Wed 6/30/21**	**Thu 7/29/21**	**233**	
236	0%	Engineering Development - Global (Netsmart VRS Framework)	20 days	Thu 7/1/21	Thu 7/29/21	233	
237	0%	Global Event Configurations	20 days	Thu 7/1/21	Thu 7/29/21	233	
238	**0%**	**VRS-NX Configuration/Customization**	**32 days**	**Wed 7/28/21**	**Thu 9/9/21**		
239	**0%**	**Birth**	**32 days**	**Wed 7/28/21**	**Thu 9/9/21**	**236**	
240	0%	Birth Screens Configurations	30 days	Thu 7/29/21	Thu 9/9/21	236	
241	**0%**	**Fetal Death**	**32 days**	**Wed 7/28/21**	**Thu 9/9/21**		
242	0%	Fetal Death Screens Configuration	30 days	Thu 7/29/21	Thu 9/9/21	236	
243	**0%**	**Interfaces**	**12 days**	**Wed 7/28/21**	**Thu 8/12/21**		
244	0%	Interface Configuration (STEVE/EVVE)	10 days	Thu 7/29/21	Thu 8/12/21	236	
245	0%	Interface Configuration (OVS)	10 days	Thu 7/29/21	Thu 8/12/21	236	
246	0%	Interface Configuration (VitalCheck)	10 days	Thu 7/29/21	Thu 8/12/21	236	
247	**0%**	**Data Conversion Build**	**298 days**	**Tue 7/28/20**	**Thu 9/16/21**		
248	0%	Develop / Update conversion and migration programs and scripts	20 days	Thu 7/29/21	Thu 8/26/21	237	
249	0%	Develop crosswalk tables that map all sources to targets	10 days	Thu 8/26/21	Thu 9/9/21	248	
250	**0%**	**Final Review and Validation**	**26 days?**	**Thu 8/12/21**	**Thu 9/16/21**		

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
251	0%	Demonstrate Final Configured Soution	1 day?	Thu 8/12/21	Fri 8/13/21	246	
252	**0%**	**Birth**	**25.5 days**	**Thu 8/12/21**	**Thu 9/16/21**		
253	0%	Birth Event Walk-through and Demonstrated in Test Environment	4 hrs	Thu 8/12/21	Thu 8/12/21	246	
254	0%	Review Period	5 days	Thu 8/12/21	Thu 8/19/21	253	
255	0%	Netsmart Correct Deficiencies until approved by State (if needed)	3 days	Thu 8/19/21	Tue 8/24/21	254	
256	0%	State Gives Final Approval	1 day	Tue 8/24/21	Wed 8/25/21	255	
257	0%	Provide User Documentation - Birth	8 days	Wed 8/25/21	Mon 9/6/21	256	
258	0%	Provide Technical Documentation -business specific and system support processes.	8 days	Mon 9/6/21	Thu 9/16/21	257	
259	**0%**	**Fetal Death**	**26 days**	**Thu 8/12/21**	**Thu 9/16/21**		
260	0%	Fetal Death Event Walk--through and Demontrated in Test Environment	2 hrs	Thu 8/12/21	Thu 8/12/21	246	
261	0%	Review Period	5 days	Thu 8/12/21	Thu 8/19/21	260	
262	0%	Netsmart Correct Deficiencies until approved by State (if needed)	3 days	Thu 8/19/21	Tue 8/24/21	261	
263	0%	State Gives Final Approval	1 day	Tue 8/24/21	Wed 8/25/21	262	
264	0%	Provide User Documentation - Fetal Death	8 days	Wed 8/25/21	Mon 9/6/21	263	
265	0%	Provide Technical Documentation -business specific and system support processes.	8 days	Mon 9/6/21	Thu 9/16/21	264	
266	**0%**	**Testing**	**139.5 days**	**Thu 7/1/21**	**Wed 1/12/22**		
267	**0%**	**Data Conversion Testing**	**62 days**	**Thu 7/1/21**	**Fri 9/24/21**		
268	**0%**	**Data Conversion / Image Migration Partial Data Testing**	**44 days**	**Thu 7/1/21**	**Tue 8/31/21**		
269	0%	DataConversion Environemnt Setup/Access	10 days	Thu 7/1/21	Thu 7/15/21	221	
270	0%	State Provides partial Data Conversion and Image Files	5 days	Thu 7/15/21	Thu 7/22/21	269	
271	0%	Run Conversion / Migration Routines	10 days	Thu 7/22/21	Thu 8/5/21	270	
272	0%	Test Load partial Conversion Data and Images	5 days	Thu 8/5/21	Thu 8/12/21	271	
273	0%	Report Conversion Statistics, Exceptions	5 days	Thu 8/12/21	Thu 8/19/21	272	
274	0%	Make Conversion Adjustments - Input Files/Load Routines	5 days	Thu 8/19/21	Thu 8/26/21	273	
275	0%	Repeat Partial Data Testing	3 days	Thu 8/26/21	Tue 8/31/21	274	
276	**0%**	**Data Conversion/Migration Complete Data Testing**	**19 days**	**Tue 8/31/21**	**Fri 9/24/21**		
277	0%	State Provides full Data Conversion and Image Files	2 days	Tue 8/31/21	Thu 9/2/21	275	
278	0%	Test Load full Conversion Data	5 days	Thu 9/2/21	Thu 9/9/21	277	
279	0%	Report Conversion Statistics, Exceptions	5 days	Thu 9/9/21	Thu 9/16/21	278	
280	0%	Make Final Conversion Adjustments - Input Files/Load Routines	3 days	Thu 9/16/21	Tue 9/21/21	279	
281	0%	Repeat Complete Data Testing	2 days	Tue 9/21/21	Thu 9/23/21	280	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
282	**0%**	**Defect Tracking Plan**	**5 days**	**Tue 8/31/21**	**Mon 9/6/21**		
283	0%	Netsmart provides written methodolgy detailing how defects found during Test phase will be reported and tracked.	5 days	Tue 8/31/21	Mon 9/6/21	251	
284	**0%**	**Test Plan and Scripts**	**13 days**	**Tue 9/7/21**	**Thu 9/23/21**		
285	0%	State creates Test Plan and test scripts with assistance of Netsmart.est Plan and Scripts	10 days	Tue 9/7/21	Mon 9/20/21	283	
286	0%	Netsmart Review of Test Plan and Scripts	2 days	Tue 9/21/21	Wed 9/22/21	285	
287	0%	Netsmart Approval of Test Plan and Test Scripts	1 day	Thu 9/23/21	Thu 9/23/21	286	
288	0%	Review & Sign-off - Test phase	0 days	Thu 9/23/21	Thu 9/23/21	287	
289	**0%**	**Testing Event (On-Site)**	**11 days**	**Fri 9/24/21**	**Fri 10/8/21**		
290	**0%**	**Testing Training (Conducted by Netsmart)**	**11 days**	**Fri 9/24/21**	**Fri 10/8/21**		
291	0%	State identifies selected State staff and stakeholders	2 days	Fri 9/24/21	Mon 9/27/21	287	
292	0%	Netsmart develops and delivers Training Materials	5 days	Tue 9/28/21	Mon 10/4/21	291	
293	0%	Netsmart delivers onsite Training prior to Testing execution	2 days	Tue 10/5/21	Wed 10/6/21	292	
294	0%	Training Evaluation Process& Feedback	2 days	Thu 10/7/21	Fri 10/8/21	293	
295	**0%**	**Testing Execution**	**40 days**	**Mon 10/11/21**	**Fri 12/3/21**		
296	0%	Run Test Scenarios / Verify Results / enter issues into IMS	10 days	Mon 10/11/21	Fri 10/22/21	294	
297	0%	Netsmart corrects problems as identified (continuous during Test phase)	10 days	Mon 10/25/21	Fri 11/5/21	296	
298	0%	Weekly Reporting (Results, Problem/Resolution log)	10 days	Mon 11/8/21	Fri 11/19/21	297	
299	0%	Netsmart Re-configures, Tests, Delivers Updates	10 days	Mon 11/22/21	Fri 12/3/21	298	
300	0%	State Acceptance of Birth Modules	0 days	Fri 12/3/21	Fri 12/3/21	299	
301	**0%**	**Go-Live Preperation**	**26 days**	**Mon 12/6/21**	**Mon 1/10/22**		
302	**0%**	**State Develops Go Live Implementation Plan with assistance from Netsmart**	**26 days**	**Mon 12/6/21**	**Mon 1/10/22**		
303	0%	Define Go / No Go Criteria	2 days	Mon 12/6/21	Tue 12/7/21	299	
304	0%	Define Go Live Procedures	3 days	Wed 12/8/21	Fri 12/10/21	303	
305	0%	Define Roll-Back Procedures	3 days	Mon 12/13/21	Wed 12/15/21	304	
306	0%	Define Training Plan Schedule	3 days	Thu 12/16/21	Mon 12/20/21	305	
307	0%	Define On-Site Support Procedures	2 days	Tue 12/21/21	Wed 12/22/21	306	
308	0%	Define Help Desk Procedures	4 days	Thu 12/23/21	Tue 12/28/21	307	
309	0%	Define Off-Site Support Procedures	3 days	Wed 12/29/21	Fri 12/31/21	308	
310	0%	Sign-Off on Go-Live Plan	0 days	Fri 12/31/21	Fri 12/31/21	309	
311	0%	Netsmart assists the State with final Production Environment updates	3 days	Mon 1/3/22	Wed 1/5/22	310	
312	0%	Netsmart makes any final changes to system identified during implementation	3 days	Thu 1/6/22	Mon 1/10/22	311	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
313	**0%**	**Maintenance Training**	**22 days**	**Thu 1/6/22**	**Fri 2/4/22**		
314	0%	Netsmart Trains State Trainers on VRS-NX Application (Onsite)	5 days	Thu 1/6/22	Wed 1/12/22	310	
315	0%	Netsmart Trains State Staff on VRS-NX System and Application Administration (Onsite)	5 days	Thu 1/13/22	Wed 1/19/22	314	
316	**0%**	**Go-Live (On- Site)**	**32 days**	**Thu 1/6/22**	**Fri 2/18/22**		
317	**0%**	**Go-Live Execution**	**32 days**	**Thu 1/6/22**	**Fri 2/18/22**		
318	**0%**	**Data Conversion and Migration**	**32 days**	**Thu 1/6/22**	**Fri 2/18/22**		
319	**0%**	**Final Data Conversion and Image Migration**	**32 days**	**Thu 1/6/22**	**Fri 2/18/22**		
320	0%	Data Conversion and migration of images for Birth	2 days	Thu 1/6/22	Fri 1/7/22	310FS+3 da	
321	0%	Conversion of All Data& Reference Tables	2 days	Mon 1/10/22	Tue 1/11/22	320	
322	**0%**	**Install Customized/Configured Solution in Production Environment**	**17 days**	**Thu 1/6/22**	**Fri 1/28/22**		
323	0%	Birth Events	4 hrs	Thu 1/6/22	Thu 1/6/22	310FS+3 da	
324	0%	Netsmart& State assists users with understanding the functionality and practical use of the system	4 days	Thu 1/6/22	Wed 1/12/22	323	
325	0%	State identifies defects in the system	5 days	Wed 1/12/22	Wed 1/19/22	324	
326	0%	State evaluates system effectiveness against the establish goals and exit criteria	5 days	Wed 1/19/22	Wed 1/26/22	325	
327	0%	Go-Live Sign-Off	2 days	Wed 1/26/22	Fri 1/28/22	326	
328	**0%**	**Post Go-Live**	**558 days**	**Tue 1/12/21**	**Thu 3/2/23**		
329	0%	Transition to Support	1 day	Fri 2/25/22	Mon 2/28/22	327FS+20 c	
330	**0%**	**System Warranty**	**557.5 days**	**Tue 1/12/21**	**Thu 3/2/23**		
331	0%	Warranty Period - Twelve (12) Months	263 days	Tue 1/12/21	Thu 1/13/22	172	
332	0%	Warranty Period Support Services	263 days	Tue 1/12/21	Thu 1/13/22	172	
333	0%	Updated Documentation	263 days	Tue 1/12/21	Thu 1/13/22	172	
334	0%	Release Notes	263 days	Tue 1/12/21	Thu 1/13/22	172	
335	0%	Support Hours (Mon-Fri 8:00am-6:00pm EST)	263 days	Mon 2/28/22	Thu 3/2/23	329	
336							
337	**0%**	**Phase 3: ITOP**	**558 days**	**Tue 1/12/21**	**Thu 3/2/23**		
338	**0%**	**Install Base Events**	**3 days**	**Mon 3/21/22**	**Wed 3/23/22**		
339	0%	ITOP Event	1 day	Mon 3/21/22	Mon 3/21/22	329	
340	0%	Verify Installation	1 day	Tue 3/22/22	Tue 3/22/22	339	
341	0%	Netsmart Provides Knowledge Transfer during all installation activities	1 day	Wed 3/23/22	Wed 3/23/22	340	
342	**0%**	**Project Plan & Schedule**	32 days	**Fri 2/4/22**	**Mon 3/21/22**		
343	0%	Netsmart Develops Project Plan and Schedule	10 days	Fri 2/4/22	Thu 2/17/22	327FS-10 d	
344	0%	Netsmart Develops Communication Plan	5 days	Fri 2/18/22	Thu 2/24/22	343	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
345	0%	State Review of Project Plan, Communication Plan, and Project Schedule	5 days	Fri 2/25/22	Thu 3/3/22	344	
346	0%	Netsmart Upates Project Plan and Schedule per feedback from State Comments	5 days	Fri 3/4/22	Thu 3/10/22	345	
347	0%	Final Review and Approval of Project Plan, Communication Plan, and Schedule	5 days	Fri 3/11/22	Thu 3/17/22	346	
348	0%	Setup Project Status Calls and Reporting	1 day	Fri 3/18/22	Fri 3/18/22	347	
349	**0%**	**Project Kickoff**	**48.5 days**	**Mon 3/21/22**	**Thu 5/26/22**		
350	0%	Prepare Agenda and Schedule Meeting	5 days	Mon 3/21/22	Fri 3/25/22	348	
351	0%	On-Site Meeting	2 days	Mon 5/23/22	Wed 5/25/22	329FS+60 (	
352	0%	Schedule Solution Review Meetings	1 day	Wed 5/25/22	Thu 5/26/22	351	
353	**0%**	**Solution Review**	**83.5 days**	**Wed 5/25/22**	**Mon 9/19/22**		
354	**0%**	**Solution Review Meetings (On-Site)**	**25.5 days?**	**Wed 5/25/22**	**Wed 6/29/22**		
355	**0%**	**Demonstrate VRS-NX Solution**	**0.38 days**	**Wed 5/25/22**	**Wed 5/25/22**		
356	0%	User Authentication, Navigation, Searching,User Roles and Profiles	2 hrs	Wed 5/25/22	Wed 5/25/22	351	
357	0%	New User Set Up	2 hrs	Wed 5/25/22	Wed 5/25/22	351	
358	0%	ITOP Event	3 hrs	Wed 5/25/22	Wed 5/25/22	351	
359	0%	Data Conversion discussion	3 hrs	Wed 5/25/22	Wed 5/25/22	351	
360	**0%**	**Requirement Review**	1 day	**Wed 6/29/22**	**Wed 6/29/22**		
361	**0%**	**Requirement Review Sessions**	**1 day**	**Wed 6/29/22**	**Wed 6/29/22**		
362	0%	Requirement Review Session - General Workflows	1 day	Wed 6/29/22	Wed 6/29/22	359FS+10 days	
363	0%	Requirement Review Session - ITOP	1 day	Wed 6/29/22	Wed 6/29/22	359FS+10 (	
364	0%	Requirement Review Session - Reports	1 day	Wed 6/29/22	Wed 6/29/22	359FS+10 (	
365	**0%**	**Design**	**48 days**	**Thu 7/14/22**	**Mon 9/19/22**		
366	**0%**	**Application Requirements**	**16 days**	**Thu 7/14/22**	**Thu 8/4/22**		
367	0%	Prepare Software Requirements Specifications (SRS) Document	10 days	Thu 7/14/22	Wed 7/27/22	364FS+10 days	
368	0%	Review SRS Document with State	1 day	Thu 7/28/22	Thu 7/28/22	367	
369	0%	Incorporate Updates from Review into SRS Document	3 days	Fri 7/29/22	Tue 8/2/22	368	
370	0%	Final Review and Approval of SRS Document	2 days	Wed 8/3/22	Thu 8/4/22	369	
371	**0%**	**Data Conversion Planning**	**36 days**	**Thu 7/14/22**	**Thu 9/1/22**		
372	0%	Document Conversion and Migration Objectives	0.5 days	Thu 7/14/22	Thu 7/14/22	364FS+10 (	
373	0%	Data Dictionary&Data Schema	1 day	Thu 7/14/22	Fri 7/15/22	372	
374	0%	Review tools and techniques used in conversion and migration processes	1 day	Fri 7/15/22	Mon 7/18/22	373	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
375	0%	Review Netsmart and State roles and responsibilities	0.5 days	Mon 7/18/22	Mon 7/18/22	374	
376	0%	Define conversion and migration strategy and methodology	1 day	Tue 7/19/22	Tue 7/19/22	375	
377	0%	Define strategy for migrating all images	1 day	Wed 7/20/22	Wed 7/20/22	376	
378	0%	Agree on final specifications on all data and images to be migrated	1 day	Thu 7/21/22	Thu 7/21/22	377	
379	0%	Develop data validation methodology including key metrics, problems, tools and recommendations on partial or non-converted records	10 days	Fri 7/22/22	Thu 8/4/22	378	
380	0%	Netsmart provides Data Migration / Conversion Plan to State for feedback	0 days	Thu 8/4/22	Thu 8/4/22	379	
381	0%	State review and feedback on Data Conversion / Migration Plan	5 days	Fri 8/5/22	Thu 8/11/22	380	
382	0%	Netsmart Updates plan based on feedback from State	5 days	Fri 8/12/22	Thu 8/18/22	381	
383	0%	Final Review and Approval of Data Conversion / Migration Plan	10 days	Fri 8/19/22	Thu 9/1/22	382	
384	**0%**	**Build**	**32 days**	**Fri 8/5/22**	**Mon 9/19/22**		
385	**0%**	**Engineering Development**	**14 days**	**Fri 8/5/22**	**Wed 8/24/22**		
386	0%	Engineering Development - Global (Netsmart VRS Framework)	7 days	Fri 8/5/22	Mon 8/15/22	370	
387	0%	Global Event Configurations	7 days	Tue 8/16/22	Wed 8/24/22	386	
388	**0%**	**VRS-NX Configuration/Customization**	**20 days**	**Fri 8/5/22**	**Thu 9/1/22**		
389	**0%**	**ITOP**	**20 days**	**Fri 8/5/22**	**Thu 9/1/22**		
390	0%	ITOP Screens Configurations	20 days	Fri 8/5/22	Thu 9/1/22	370	
391	**0%**	**Data Conversion Build**	**12 days**	**Fri 9/2/22**	**Mon 9/19/22**		
392	0%	Develop / Update conversion and migration programs and scripts	7 days	Fri 9/2/22	Mon 9/12/22	383	
393	0%	Develop crosswalk tables that map all sources to targets	5 days	Tue 9/13/22	Mon 9/19/22	392	
394	**0%**	**Final Review and Validation**	**29.5 days**	**Fri 8/5/22**	**Thu 9/15/22**		
395	0%	Demonstrate Final Configured Soution	1 day	Fri 9/2/22	Fri 9/2/22	390	
396	**0%**	**ITOP**	**29.5 days**	**Fri 8/5/22**	**Thu 9/15/22**		
397	0%	ITOP Event Walk-through and Demonstrated in Test Environment	4 hrs	Fri 9/2/22	Fri 9/2/22	390	
398	0%	Review Period	5 days	Fri 9/2/22	Fri 9/9/22	397	
399	0%	Netsmart Correct Deficiencies until approved by State (if needed)	3 days	Fri 9/9/22	Wed 9/14/22	398	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
400	0%	State Gives Final Approval	1 day	Wed 9/14/22	Thu 9/15/22	399	
401	0%	Provide User Documentation - ITOP	8 days	Fri 8/5/22	Tue 8/16/22	370	
402	0%	Provide Technical Documentation -business specific and system support processes.	8 days	Fri 8/5/22	Tue 8/16/22	370	
403	**0%**	**Testing**	**92 days**	**Thu 7/28/22**	**Fri 12/2/22**		
404	**0%**	**Data Conversion Testing**	**74 days**	**Thu 7/28/22**	**Tue 11/8/22**		
405	**0%**	**Data Conversion / Image Migration Partial Data Testing**	**31 days**	**Fri 9/2/22**	**Fri 10/14/22**		
406	0%	DataConversion Environemnt Setup/Access	6 days	Fri 9/2/22	Fri 9/9/22	383	
407	0%	State Provides partial Data Conversion and Image Files	5 days	Mon 9/12/22	Fri 9/16/22	406	
408	0%	Run Conversion / Migration Routines	5 days	Mon 9/19/22	Fri 9/23/22	407	
409	0%	Test Load partial Conversion Data and Images	4 days	Mon 9/26/22	Thu 9/29/22	408	
410	0%	Report Conversion Statistics, Exceptions	4 days	Fri 9/30/22	Wed 10/5/22	409	
411	0%	Make Conversion Adjustments - Input Files/Load Routines	4 days	Thu 10/6/22	Tue 10/11/22	410	
412	0%	Repeat Partial Data Testing	3 days	Wed 10/12/22	Fri 10/14/22	411	
413	**0%**	**Data Conversion/Migration Complete Data Testing**	**43 days**	**Fri 9/9/22**	**Tue 11/8/22**		
414	0%	State Provides full Data Conversion and Image Files	2 days	Mon 10/17/22	Tue 10/18/22	412	
415	0%	Test Load full Conversion Data	5 days	Wed 10/19/22	Tue 10/25/22	414	
416	0%	Report Conversion Statistics, Exceptions	5 days	Wed 10/26/22	Tue 11/1/22	415	
417	0%	Make Final Conversion Adjustments - Input Files/Load Routines	3 days	Wed 11/2/22	Fri 11/4/22	416	
418	0%	Repeat Complete Data Testing	2 days	Mon 11/7/22	Tue 11/8/22	417	
419	**0%**	**Defect Tracking Plan**	**1 day**	**Mon 9/5/22**	**Mon 9/5/22**		
420	0%	Netsmart provides written methodolgy detailing how defects found during Test phase will be reported and tracked.	1 day	Mon 9/5/22	Mon 9/5/22	395	
421	0%	**Test Plan and Scripts**	13 days	Tue 9/6/22	Thu 9/22/22		
422	0%	State creates Test Plan and test scripts with assistance of Netsmart.est Plan and Scripts	10 days	Tue 9/6/22	Mon 9/19/22	420	
423	0%	Netsmart Review of Test Plan and Scripts	2 days	Tue 9/20/22	Wed 9/21/22	422	
424	0%	Netsmart Approval of Test Plan and Test Scripts	1 day	Thu 9/22/22	Thu 9/22/22	423	
425	0%	Review & Sign-off - Test phase	0 days	Thu 9/22/22	Thu 9/22/22	424	
426	**0%**	**Testing Event (On-Site)**	**11 days**	**Fri 9/23/22**	**Fri 10/7/22**	**421**	
427	**0%**	**Testing Training (Conducted by Netsmart)**	**11 days**	**Fri 9/23/22**	**Fri 10/7/22**		
428	0%	State identifies selected State staff and stakeholders	2 days	Fri 9/23/22	Mon 9/26/22	425	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
429	0%	Netsmart develops and delivers Training Materials	5 days	Tue 9/27/22	Mon 10/3/22	428	
430	0%	Netsmart delivers onsite Training prior to Testing execution	2 days	Tue 10/4/22	Wed 10/5/22	429	
431	0%	Training Evaluation Process&Feedback	2 days	Thu 10/6/22	Fri 10/7/22	430	
432	**0%**	**Testing Execution**	**40 days**	**Mon 10/10/22**	**Fri 12/2/22**		
433	0%	Run Test Scenarios / Verify Results / enter issues into IMS	5 days	Mon 10/10/22	Fri 10/14/22	431	
434	0%	Netsmart corrects problems as identified (continuous during Test phase)	5 days	Mon 10/17/22	Fri 10/21/22	433	
435	0%	Weekly Reporting (Results, Problem/Resolution log)	5 days	Mon 10/24/22	Fri 10/28/22	434	
436	0%	Netsmart Re-configures, Tests, Delivers Updates	5 days	Mon 10/31/22	Fri 11/4/22	435	
437	0%	State Acceptance of ITOP Module	0 days	Fri 11/4/22	Fri 11/4/22	436	
438	**0%**	**Go-Live Preperation**	**26 days**	**Mon 11/7/22**	**Mon 12/12/22**		
439	**0%**	**State Develops Go Live Implementation Plan with assistance from Netsmart**	**26 days**	**Mon 11/7/22**	**Mon 12/12/22**		
440	0%	Define Go / No Go Criteria	2 days	Mon 11/7/22	Tue 11/8/22	437	
441	0%	Define Go Live Procedures	3 days	Wed 11/9/22	Fri 11/11/22	440	
442	0%	Define Roll-Back Procedures	3 days	Mon 11/14/22	Wed 11/16/22	441	
443	0%	Define Training Plan Schedule	3 days	Thu 11/17/22	Mon 11/21/22	442	
444	0%	Define On-Site Support Procedures	2 days	Tue 11/22/22	Wed 11/23/22	443	
445	0%	Define Help Desk Procedures	4 days	Thu 11/24/22	Tue 11/29/22	444	
446	0%	Define Off-Site Support Procedures	3 days	Wed 11/30/22	Fri 12/2/22	445	
447	0%	Sign-Off on Go-Live Plan	0 days	Fri 12/2/22	Fri 12/2/22	446	
448	0%	Netsmart assists the State with final Production Environment updates	3 days	Mon 12/5/22	Wed 12/7/22	447	
449	0%	Netsmart makes any final changes to system identified during implementation	3 days	Thu 12/8/22	Mon 12/12/22	448	
450	**0%**	**Maintenance Training**	**22 days**	**Mon 12/5/22**	**Tue 1/3/23**		
451	0%	Netsmart Trains State Trainers on VRS-NX Application (Onsite)	3 days	Mon 12/5/22	Wed 12/7/22	447	
452	0%	Netsmart Trains State Staff on VRS-NX System and Application Administration (Onsite)	2 days	Thu 12/8/22	Fri 12/9/22	451	
453	**0%**	**Go-Live (On- Site)**	**17 days**	**Thu 12/8/22**	**Fri 12/30/22**		
454	**0%**	**Go-Live Execution**	**17 days**	**Thu 12/8/22**	**Fri 12/30/22**		
455	**0%**	**Data Conversion and Migration**	**4 days**	**Thu 12/8/22**	**Tue 12/13/22**		
456	**0%**	**Final Data Conversion and Image Migration**	**4 days**	**Thu 12/8/22**	**Tue 12/13/22**		
457	0%	Data Conversion and migration of images for Birth	2 days	Thu 12/8/22	Fri 12/9/22	447FS+3 days	
458	0%	Conversion of All Data&Reference Tables	2 days	Mon 12/12/22	Tue 12/13/22	457	

ID	% Complete	Task Name	Duration	Start	Finish	Predecessors	Resource Names
459	**0%**	**Install Customized/Configured Solution in Production Environment**	**17 days**	**Thu 12/8/22**	**Fri 12/30/22**		
460	0%	ITOP Events	4 hrs	Thu 12/8/22	Thu 12/8/22	447FS+3 da	
461	0%	Netsmart&State assists users with understanding the functionality and practical use of the system	4 days	Thu 12/8/22	Wed 12/14/22	460	
462	0%	State identifies defects in the system	5 days	Wed 12/14/22	Wed 12/21/22	461	
463	0%	State evaluates system effectiveness against the establish goals and exit criteria	5 days	Wed 12/21/22	Wed 12/28/22	462	
464	0%	Go-Live Sign-Off	2 days	Wed 12/28/22	Fri 12/30/22	463	
465	**0%**	**Post Go-Live**	**558 days**	**Tue 1/12/21**	**Thu 3/2/23**		
466	0%	Transition to Support	1 day	Fri 1/27/23	Mon 1/30/23	464FS+20 c	
467	**0%**	**System Warranty**	**558 days**	**Tue 1/12/21**	**Thu 3/2/23**		
468	0%	Warranty Period - Twelve (12) Months	263 days	Tue 1/12/21	Thu 1/13/22	172	
469	0%	Warranty Period Support Services	263 days	Tue 1/12/21	Thu 1/13/22	172	
470	0%	Updated Documentation	263 days	Tue 1/12/21	Thu 1/13/22	172	
471	0%	Release Notes	263 days	Tue 1/12/21	Thu 1/13/22	172	
472	0%	Support Hours (Mon-Fri 8:00am-6:00pm EST)	23 days	Tue 1/31/23	Thu 3/2/23	466	

Legal Exceptions

Netsmart's Legal Exceptions for the State of West Virginia follow this page.

Exceptions to Request for Proposal RFP West Virginia Department of Health and Human Resources February 2019

Page	§	Proposed Revision	Comments/Explanation
Part 1			
14-15	Performance Bond Labor/Material Payment Bond Maintenance Bond		Vendor has the financial resources, stability and longevity to provide adequate assurance to the State that it is both technically and financially capable of supporting this project to successful completion. In our research in the surety markets, we have found it impractical and cost prohibitive to secure a performance bond for this type of project. Through our errors & omissions insurance and milestone payment plan design, we can provide contract based hedges against a failure or refusal to complete the project. Specifically, the surety market has significantly changed over the years making performance bonds for IT software procurement projects cost prohibitive and nearly impossible to obtain without compensating collateral for the amount of the bond. It is our experience that the types and amounts of performance bonds available in the risk market have been drastically reduced and, in some instances, bond companies have begun to require companies to partially or fully collateralize performance bonds with bank letters of credit, substantially increasing the overall bonding and contract price. From a practical perspective, performance bonds do not guarantee payment of damages suffered as a result of the contractor's inability to perform and do not provide an effective remedy for failing projects. Surety companies don't know how to evaluate an aborted IT implementation since there is no easy substitution of materials and services as there might be in a construction contract. The surety will also not make a payment under the bond while litigation is pending over the reasons for failure. Vendor understands the need for an adequate risk mitigation profile and will work with the

			State to create a contractual agreement that provides practical remedies to ensure that all parties are meeting expectations and obligations related to the project scope. These assurances can be addresses through risk mitigation insurance, warranties, service level agreements, milestone payment plans, holdbacks and other contractual remedies.
17	Liquidated Damages	Omit Section	With regard to liquidated damages Vendor takes exception to Liquidated Damages in general, because we believe a tightly integrated acceptance/test procedure and payment milestone schedule keeps both parties focused on a positive outcome and eliminates the need for one sided penalties. Typically with software implementations it is not often a clear cut black and white anomaly that occurs but rather both parties joint participation in the event that results in a variance. The parties will mutually agree on an implementation plan.
18	Funding	This Contract shall continue for the term stated herein, contingent upon funds being appropriated by the Legislature or otherwise being made available. In the event funds are not appropriated or otherwise made available, this Contract becomes void and of no effect beginning on July 1 of the fiscal year for which funding has not been appropriated or otherwise made available. In the event Client terminates this Agreement for lack of funds as provided herein, Client agrees to pay Vendor for (1) any remaining license fees for Vendor Software delivered, (2) services performed prior to the effective date of the termination, and (3) any early termination fees required under the terms in the Agreement.	
18	Compliance with Laws	Vendor shall comply with all applicable federal, state, and local laws, regulations and ordinances as it relates to the general operation of its business. By submitting a bid, Vendor acknowledges that it has reviewed, understands, and will comply with all applicable laws, regulations and ordinances as it relates to the general operation of its business.	
19	Subsequent Forms		The Request for Proposal and Vendor's Response will be incorporated by reference into the final agreement between the parties (collectively, the Contract Documents). In the event of any conflict or inconsistency between

			the terms and conditions of the Contract Documents, the conflict or inconsistency shall be resolved according to the following order of precedence, from the document with the greatest control to the least: (1) the written terms and condition of the final agreement that is mutually executed by the parties; (2) the terms of the Request for Proposal that are accepted by Vendor's written response; and (3) any other Contract Documents identified above
19	Assignment		Vendor has a history of growth based on mergers and acquisitions. We would like to add: "provided, however, that Vendor may assign this agreement on notice, but without consent to an affiliate (i.e. an entity directly related to Vendor through common ownership and control) or to an affiliate created as a result of a merger, or an acquisition of all of the business of Vendor, so long as the affiliate continues to carry on the business of Vendor as it existed on the date of the assignment."
19	Warranty	The Vendor expressly warrants that the goods and/or services covered by this Contract will: (a) conform to the specifications~~, drawings, samples, or other description furnished or specified by the Agency~~specified in the applicable agreement; and (b) ~~be merchantable and fit for the purpose intended; and (c)~~ be free from defect in material and workmanship.	
19	Privacy, Security, and Confidentiality	The Vendor agrees that it will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the Agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made pursuant to the Contract. ~~Agency's policies, procedures, and rules. Vendor further agrees to comply with the Confidentiality Policies and Information Security Accountability Requirements, set forth in http://www.state.wv.us/admin/purchase/ privacy/default. html.~~	Vendor cannot agree to comply with every client's individual policies; it would be impossible for us to keep track of them all. We will agree to incorporate confidential information language into the final contract and agree to negotiate in good faith a BAA.
20	Antitrust		Vendor will grant the State of West Virginia a non-exclusive, perpetual non-transferable license to use the Licensed Programs in object code form only for the State of West

			Virginia internal business purposes and not to process the data of any other entity
21	Indemnification	Subject to the limitation of liability in the agreement between the parties, ~~T~~the Vendor agrees to indemnify, defend, and hold harmless the State and the Agency, their officers, and employees from and against: (l) Any third-party claims or losses for services rendered by any subcontractor, person, or firm performing or supplying services, materials, or supplies in connection with the performance of the Contract; (2) Any third-party claims or losses resulting to any person or entity injured or damaged by the Vendor, its officers, employees, or subcontractors by the publication, translation, reproduction, delivery, performance, use, or disposition of any data used under the Contract in a manner not authorized by the Contract, or by Federal or State statutes or regulations; and (3) Any failure of the Vendor, its officers, employees, or subcontractors to observe State and Federal laws including, but not limited to, labor and wage and hour laws.	
22	Additional Agency and Local Government Use		External agencies will be required to enter into their own written agreement with Contractor but may use similar terms and conditions as the County. However County may permit usage of their single production instance to an authorized affiliate provided it is within the maximum named user count listed in the agreement.
21	Background Check	Omit	Contractor conducts its own background check prior to hiring employees however Contractor can provide certification of such checks
Notice of Confidentiality			
	2.3	Security Incident means any known successful or unsuccessful attempt by an authorized or unauthorized individual to inappropriately use, disclose, modify, access, or destroy any information. For purposes of this Agreement "Security Incident" does not include trivial incidents that occur on a daily basis, such as scans, "pings", or unsuccessful attempts to penetrate computer networks or servers maintained by Vendor.	
	4.4.2.1 4.4.2.2	Upon the discovery of Breach of security of Confidential Information, if the Confidential Information was, or is reasonably believed to have been, acquired by an unauthorized person, the vendor shall notify the individuals	

		identified in 4.4.2.3 immediately, without unreasonable delay, by telephone call plus e-mail, web form or fax; or, Within ~~24~~ 48 hours by e-mail or fax of any suspected Security Incident	
	4.4.2.6	Delete and replace with the following: The referenced limitation of liability will not apply to and Netsmart will fully indemnify Agency for: i. Agency's actual out of pocket costs of notice, mitigation or remediation of any privacy breach caused by any act or omission of Netsmart. ~~i.~~ii. Fines or penalties that are assessed against Agency by a state or federal regulatory agency for an act or omission of Netsmart or by its employees, directors, officers, subcontractors, or agents on a theory of agency or vicarious liability.	
Provisions Required for Federally Funded Procurements			
	5.6 Damages	All damages are subject to the agreement signed between the parties and shall contain a reasonable and proportionate limitation of liability.	
	Additional Licensing Terms and Conditions to be included:	1. **LICENSED PROGRAMS** a) Netsmart hereby grants Licensee: i) a non-exclusive, perpetual (subject only to termination under Section 11) non-transferable license to use the Licensed Programs in object code form only for Licensee's internal business purposes and not to process the data of any other entity; ii) to support one production Licensee Databases and the number of named users of the Netsmart Programs set forth in Schedule __ [unless the license is an Enterprise type License]; iii) on the number of servers, operating system and for access by the maximum number of simultaneous users or other such restrictions of the Third Party Products as set forth in Schedule __; The foregoing license grant may be exercised by Licensee and its employees and independent contractors (provided that such independent contractors undertake in	

writing to be bound by all applicable restrictions in this Agreement) (collectively, "Licensee Personnel") on Licensee's equipment for Licensee's internal business purposes provided they are added as named users for the Licensed Programs.

b) Except as expressly stated in this Agreement, no other rights, express, implied or otherwise are granted to Licensee.

c) Nothing in this Agreement will be deemed to convey any title or ownership interest in the Licensed Programs to Licensee. Licensee will not sell, disclose, lease, sublease, lend or otherwise make the Licensed Programs available to anyone who does not need access to the Licensed Programs in order for Licensee use the Licensed Programs to accomplish their intended purpose.

d) Licensee agrees to reproduce any copyright notices and/or other proprietary legends, regardless of form, contained in, affixed to, or appearing on the Licensed Programs.

e) Licensee will not disassemble or reverse engineer any of the Licensed Programs nor attempt to access or modify the source code version of the Licensed Programs and will not make any derivations, adaptations, or translations of the Licensed Programs in whole or in part, nor use the Licensed Programs to develop functionally similar computer software or to otherwise compete with Netsmart.

2. **<u>WARRANTIES</u>**

a) Netsmart warrants that the Licensed Programs will substantially conform in all material respects with their Specifications. Netsmart will correct any Problems or Defects in accordance with its Support Services program as then in effect.

b) Netsmart further represents and warrants that it has the right to grant the licenses granted to Licensee hereunder and that to the best of Netsmart's knowledge the Licensed Programs do not infringe upon or violate the United

		States patent rights of any third party and do not infringe upon or violate the copyright, or trade secret right of any third party. c) If any modifications, additions or alterations of any kind or nature are made to the Licensed Programs without authorization by Netsmart or anyone acting with the consent of or under the direction of Netsmart, all warranties will immediately terminate and Netsmart will have no further warranty obligation to Licensee. 3. **LIMITATION OF WARRANTY.** THE FOREGOING WARRANTIES ARE EXCLUSIVE OF ANY OTHER WARRANTIES AND CONDITIONS EXPRESS OR IMPLIED, WHETHER IN RELATION TO THE LICENSED PROGRAMS, HARDWARE OR THE PROVISION OF ANY SERVICES INCLUDING, BUT NOT LIMITED TO, THOSE CONCERNING MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE OR ARISING BY TRADE USAGE OR COURSE OF DEALING. LICENSEE'S EXCLUSIVE REMEDY IN THE EVENT OF A BREACH OF THE SECTION 2(a) WARRANTY AND NETSMART'S SOLE OBLIGATION IS TO MODIFY THE SOFTWARE TO ELIMINATE THE PROBLEM OR DEFECT. LICENSEE'S EXCLUSIVE REMEDY IN THE EVENT OF A BREACH OF THE SECTION 2(b) WARRANTY IS SET FORTH IN SECTION 5. 4. **LIMITATION OF LIABILITY** a) **LIMITATION ON SPECIFIED DAMAGES** IN NO EVENT WILL EITHER PARTY BE LIABLE TO THE OTHER FOR ANY INDIRECT, SPECIAL, INCIDENTAL, CONSEQUENTIAL, PUNITIVE, OR EXEMPLARY DAMAGES (INCLUDING, BUT NOT LIMITED TO, PROCUREMENT OF SUBSTITUTE GOODS OR SERVICES, DAMAGES RELATED TO DELAYS, LOSS OF DATA, INTERRUPTION OF SERVICE OR LOSS OF BUSINESS OR PROFITS OR	

REVENUE), EVEN IF THE PARTY HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES AND REGARDLESS OF WHETHER ANY REMEDY FAILS OF ITS ESSENTIAL PURPOSE. EXCEPT AS SET FORTH IN SECTION 5, IN NO EVENT WILL EITHER PARTY BE LIABLE FOR ANY THIRD PARTY CLAIM.

b) **LIMITATION ON CUMULATIVE LIABILITY.** EXCEPT AS SET FORTH IN SECTION 5, THE CUMULATIVE LIABILITY OF NETSMART TO LICENSEE FOR ANY ACTUAL OR ALLEGED DAMAGES ARISING OUT OF, BASED ON OR RELATING TO THIS AGREEMENT, WHETHER BASED UPON BREACH OF CONTRACT, TORT (INCLUDING NEGLIGENCE), WARRANTY OR ANY OTHER LEGAL THEORY, WILL NOT EXCEED THE AMOUNT OF LICENSE FEES PAID TO NETSMART UNDER THIS AGREEMENT.

5. **INDEMNIFICATION**

a) In the event of any claim by a third party against Licensee (the "Claim"), alleging that the use of the Licensed Programs infringes upon any intellectual property rights of such third party, Licensee will promptly notify Netsmart and Netsmart will defend such Claim, in Licensee's name but at Netsmart's expense, and will indemnify Licensee against any liability paid by Licensee, including but not limited to attorneys' fees and disbursements, arising out of such Claim. In the event such an infringement is found and Netsmart cannot either procure the right to continued use of the Licensed Programs, or replace or modify the Licensed Programs with a non-infringing program, then Netsmart may terminate the license of the Licensed Programs, and will refund to Licensee the amount of the license fee paid by Licensee, reduced by one sixtieth for each full month from the date of first use of the Licensed Programs, until the date of termination.

b) Netsmart will not have any liability under Section 5(a), , to the extent that the Claim is based upon (i) the use of

		the Licensed Programs in combination with other products or services not made or furnished by Netsmart, provided that the Licensed Programs alone are not the cause of such Claim; or (ii) the modification of the Licensed Programs or any portion thereof by anyone other than Netsmart, or an authorized agent of Netsmart provided that the Licensed Programs in unmodified form are not the cause of such Claim. 6. **<u>CONFIDENTIALITY</u>** a) Each party agrees that by reason of their engagement hereunder, they will acquire confidential information and trade secrets concerning the operations of the other party and their business methods and operations. b) Each party (including its employees and agents) will use the same standard of care, but in no event less than reasonable care, that it uses to protect its own confidential information to protect any confidential information of the other party that is disclosed during negotiation or performance of this Agreement including any aspect of the business or affairs of the other party and their information and the parties' performance under this Agreement. c) Netsmart recognizes and acknowledges the sensitive and confidential nature of information it may obtain with regard to Subscriber's clients and their treatment, and agrees that information with respect to Subscriber's clients and their treatment will be kept in strict confidence in perpetuity by Netsmart. Netsmart agrees to comply with the Health Insurance Portability and Accountability Act of 1996, as codified at 42 U.S.C. § 1320d ("HIPAA") and any current and future regulations promulgated there under including without limitation the federal privacy regulations contained in 45 C.F.R. Parts 160 and 164 (the "Federal Privacy Regulations"), the federal security standards contained in 45 C.F.R. Part 142 (the "Federal Security Regulations"), and the federal standards for electronic transactions contained in 45 C.F.R. Parts 160 and 162, all collectively referred to herein as "HIPAA Requirements". Netsmart agrees not to use or further disclose any Protected Health Information (as defined in	

45 C.F.R. Section 164.501) or Individually Identifiable Health Information (as defined in 42 U.S.C. Section 1320d), other than as permitted by HIPAA Requirements and the terms of this Agreement. Netsmart will make its internal practices, books, and records relating to the use and disclosure of Protected Health Information available to the Secretary of Health and Human Services to the extent required for determining compliance with the Federal Privacy Regulations.

d) Subscriber will take adequate steps and security precautions to prevent unauthorized disclosure of information which is proprietary to Netsmart and/or the owner of the Third Party Programs. Including but not limited to: (i) instructing its employees having access to such information not to copy or duplicate the same or any part thereof and to withhold disclosure or access or reference thereto from unauthorized third parties; (ii) effecting sufficient security measures including, at the request of Netsmart, requiring non-disclosure agreements with its employees, to safeguard such information from theft or from access by unauthorized parties; (iii) Maintaining proper control of passwords and security procedures to prevent unauthorized access to the Subscriber Database .

7. **NON-SOLICITATION**

During the term of this Agreement and for a period of one (1) year following its termination, neither party will directly or indirectly solicit for employment or as a consultant, an employee or consultant of the other party, or any person who was an employee or consultant of the other party at any time during the six (6) month period immediately prior to the date such employee or consultant is solicited, hired or retained.

8. **FORCE MAJEURE**

Neither party will be responsible for delays or failures in performance resulting from acts or events beyond its reasonable control, including but not limited to, acts of nature, governmental actions, fire, labor difficulties or shortages,

		civil disturbances, transportation problems, interruptions of power supply or communications or natural disasters, provided such party takes reasonable efforts to minimize the effect of such acts or events. 9. **MISCELLANEOUS.** Netsmart does not agree to any form of liquidated or punitive damages or to provide performance bonds.	
		Client agrees to the pass through terms that apply to those Third Party Products at http://www.ntst.com/passthroughterms/index.aspx.	