



Department of Health

Request for Proposals

RFP # - 20335

Maintenance and Enhancement of the Web-Based New York State Immunization Information System

Issued: October 31, 2023

DESIGNATED CONTACT:

Pursuant to State Finance Law §§ 139-j and 139-k, the New York State Department of Health (hereinafter referred to as the “**Department**” or as “**DOH**”) identifies the following designated person to whom all communications attempting to influence the Department’s conduct or decision regarding this procurement must be made.

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PERMISSIBLE SUBJECT MATTER CONTACT:

Pursuant to State Finance Law § 139-j(3)(a), the Department ^ identifies the following allowable person to contact for communications related to the submission of written bids, written questions, pre-bid questions, and debriefings.

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1 CALENDAR OF EVENTS

RFP# 20335 MAINTENANCE AND ENHANCEMENT OF THE WEB-BASED NEW YORK STATE IMMUNIZATION INFORMATION SYSTEM	
<u>EVENT</u>	<u>DATE</u>
Issuance of Request for Proposals	October 31, 2023
Deadline for Submission of Written Questions	Questions Due By November 17, 2023 at 3:00 p.m. ET
Responses to Written Questions Posted by DOH	Responses Posted On or About December 4, 2023
Deadline for Submission of Proposals	Proposals Due On Or Before December 27, 2023 at 3:00 p.m. ET
<i>Anticipated</i> Contract Start Date	May 1, 2024

2 OVERVIEW

Through this Request for Proposals (“RFP”), the New York State (“State”) Department of Health (the “Department” or “DOH”) is seeking competitive proposals from qualified bidders that will assume responsibility for system maintenance, enhancements, technical support, user support, including Tier 3 help desk support, of the New York State Immunization Information System (NYSIIS), as further detailed in Section 4.0 (Scope of Work). It is the Department’s intent to award one (1) contract from this procurement.

2.1 Introductory Background

NYSIIS is a confidential, secure, web-based system that collects and maintains demographic, immunization, and blood lead test information in one consolidated record for persons of all ages in New York State (excluding New York City). As of February 28, 2023, NYSIIS contains 16.6 million patients, 180 million immunizations, and 4.2 million blood lead test results. There are more than 54,182 users from an estimated 8,875 health care provider organizations, 2,509 pharmacies, 37 health plans and 4,036 schools. Authorized use for NYSIIS is guided by Public Health Law [Legislation | NY State Senate \(nysenate.gov\)](https://www.nysenate.gov/legislation/nysenate.gov).

The NYSIIS application has been in production since 2008 and is overseen by the Bureau of Surveillance and Data Systems (BSDS). The NYSIIS application requires ongoing updates to become fully compliant with federal recommendations and NYSDOH business requirements. This is a system that is critical for responding to public health emergencies. In addition, the vendor shall implement activities that include expanding the scope of NYSIIS to collaborate with other NYSDOH Programs and health information exchange initiatives. The Department is also interested in moving towards more modern data and IT solutions. Overall, the vendor shall support and maintain the NYSIIS, guided by the Centers for Disease Control and Prevention Immunization Information System Functional Standards ([IIS Functional Standards v4.1 | CDC](https://www.cdc.gov/immzoo/iis/iis-functional-standards-v4.1/)).

The New York State Office of Information Technology Services (ITS) was created in 2012 to centralize IT services and develop cutting-edge technology solutions that enable state government to serve New Yorkers in a better, smarter and more cost-effective way. ITS provides statewide IT strategic direction, directs IT policy and delivers centralized IT products and services that support the mission of the State. ITS currently supports the data center that houses the NYSIIS production and training/QA servers.

2.2 Important Information

The Bidder **must** review, and is requested to have its legal counsel review, [Attachment 8](#), the DOH Agreement (Standard Contract), as the successful Bidder must be willing to enter into the Contract awarded pursuant to this RFP in the terms of [Attachment 8](#), **subject only to any amendments to the Standard Contract agreed by the Department during the Question and Answer Phase of this RFP** (see, [Section 6.2](#)). Please note that this RFP and the awarded Bidder's Bid will become part of the Contract as Appendix B and C, respectively.

It should be noted that Appendix A of [Attachment 8](#), "Standard Clauses for New York State Contracts", contains important information, terms and conditions related to the Contract to be entered into as a result of this RFP and **will be incorporated, without change or amendment**, into the Contract entered into between DOH and the successful Bidder. By submitting a response to this RFP, the Bidder agrees to comply with all the provisions of the Contract, including all of the provisions of Appendix A.

Note, [Attachment 7](#), the Bidder's Certified Statements, **must** be submitted by each Bidder and includes a statement that the Bidder accepts, **without any added conditions, qualifications or exceptions**, the contract terms and conditions contained in this RFP including any exhibits and attachments, including, without limitation, [Attachment 8](#). It also includes a statement that the Bidder acknowledges that, should any alternative proposals or extraneous terms be submitted with its Bid, such alternate proposals or extraneous terms will not be evaluated by the DOH.

Any qualifications or exceptions proposed by a Bidder to this RFP should be submitted in writing using the process set forth in [Section 6.2](#) (Questions) prior to the deadline for submission of written questions indicated in [Section 1.0](#) (Calendar of Events). Any amendments DOH makes to the RFP as a result of questions and answers will be publicized on the DOH web site and will be available and applicable to all Bidders equally.

2.3 Term of the Agreement

The term of the Contract that will be entered into pursuant to this RFP between the Department and the successful Bidder will be for a period of five (5) years commencing on the date shown on the Calendar of Events in [Section 1](#), subject to the availability of sufficient funding, successful Contractor performance, and approvals from the New York State Attorney General (AG) and the Office of the State Comptroller (OSC). After the initial contract term expires, at the discretion of the Department, the contract may be extended for up to two (2) additional years by an amendment signed by both parties with all the required approvals from the New York State AG and OSC.

3 BIDDERS' QUALIFICATIONS TO PROPOSE

3.1 Minimum Qualifications

The NYSDOH will accept proposals from bidders with the following types and levels of experience as a prime contractor.

- Five (5) years general Immunization Information System (IIS) experience. This may include development or support of an operational system;
- Experience migrating at least one (1) system to a cloud-based platform; and
- Experience supporting at least one (1) system in a cloud-based platform.

Experience acquired concurrently is considered acceptable.

For the purposes of this RFP, a "prime contractor" is defined as one who has the contract with the owner of a project or job and has full responsibility for its completion. A prime contractor undertakes to perform a complete contract and may employ (and manage) one or more subcontractors to carry out specific parts of the contract.

Failure to meet these Minimum Qualifications will result in a proposal being found non-responsive and eliminated from consideration.

4 SCOPE OF WORK

This Section describes the services that are required to be provided by the selected bidder. The selected bidder must be able to provide all of these services throughout the contract term.

PLEASE NOTE: Bidders will be requested to provide responses that address all of the requirements of this RFP as part of its Technical Proposal.

The terms “bidders”, “vendors” and “proposers” are also used interchangeably. For purposes of this RFP, the use of the terms “shall”, “must” and “will” are used interchangeably when describing the Contractor’s/Bidder’s duties.

The guiding principles for the development, implementation, and ongoing maintenance and enhancement of an immunization information system reflect national and state standards, specifications, and measures related to providing an accurate, secure, interoperable infrastructure that will support the appropriate use and sharing of health information by the immunization community and beyond. These include sound public health informatics development practices as described by the Public Health Informatics Institute (<https://www.phii.org/>), National Vaccine Advisory Committee (<https://www.hhs.gov/nvpo/nvac/reports-and-recommendations/index.html>), National IIS Data Quality Blueprint (<https://www.cdc.gov/vaccines/programs/iis/downloads/Data-Quality-Blueprint-508.pdf>), Aggregate Analysis Reporting Tool (<https://www.immregistries.org/aggregate-analysis-reporting-tool>), Office of the National Coordinator for Health Information Technology (<https://www.healthit.gov/HIE>), and Healthy People 2030 goals and objectives.

4.1 Tasks/Deliverables

To support one unified statewide immunization information system is a multifaceted and substantial undertaking. To ensure success of the program, the selected vendor will be required to assist or be responsible for the following components of the NYSIIS:

4.1.1 Transitional and Operational Requirements

4.1.2 Operation and maintenance

- Critical Production Performance Requirements
- Normal system activity
- Production Data interfaces and loading
- Problem response
- Production Performance monitoring
- Status Reports and Project Management Requirements
- System Maintenance and Operations Documentation
- Releases during Maintenance and Operations
- Disaster Recovery Plan

4.1.3 Change Requests and Enhancements

4.1.4 NYSIIS Help Desk & User Support Deliverables

4.1.5 Blood Lead Program Support Deliverables

Other tasks as identified elsewhere in this RFP or inherent in the performance of the services solicited by this RFP.

Please refer to **Exhibit A: NYSIIS Infrastructure Description** for details on how the NYSIIS Application is currently configured.

4.1.1 Transitional and Operational Requirements

The transitional and operational responsibility for the NYSIIS System by the selected vendor will consist of four (4) distinct phases:

- Phase I Assessment of the current environment by the selected vendor
- Phase II System support transition to the selected vendor
- Phase III Full systems support by the selected vendor
- Phase IV Transition of Ownership

The actions and deliverables required of the vendor from each phase are described in detail below. The vendor's Cost Proposal should identify costs for each Phase.

Phase I – Assessment of Current Environment

The vendor will review the business, software, and hardware and infrastructure environments of the NYSIIS System in order to develop a Transition Plan for subsuming the Immunization Information System Support activities from the incumbent vendor. Project-specific technical documentation and source code will be made available to the vendor for review to gain a technical understanding of the system and the associated technical architecture. Representatives of NYSIIS and NYS ITS will be available to meet with the vendor to provide an understanding, from NYSDOH's business perspective, of the requirements for application support of the NYSIIS System. The vendor will prepare a Transition Plan for NYSIIS support during this Phase for BSDS approval. The Transition Plan should document the approach and tasks to be executed during Phase II - Systems Support Transition (project schedule). The BSDS will maintain basic operational control of the NYSIIS System during Phase I.

Phase I will not end until BSDS approves the Transition Plan. The vendor will not receive additional reimbursement for any efforts or time as a result of delays during this Phase.

Phase II - Systems Support Transition

Following completion of Phase I. Support for NYSIIS will be incrementally transitioned to the vendor from the BSDS as defined in the Phase I Transition Plan. The vendor shall prepare and deliver a weekly report of the status of each task in the Transition Plan.

The BSDS maintains operational oversight during Phase II while the vendor's Team assumes responsibilities for NYSIIS tasks according to the Transition Plan. Before the end of Phase II, the vendor shall submit an updated project schedule from the Transition plan reflecting all tasks, start and finish dates and assigned resources for the next 12-month period. This updated project schedule shall be completed by the vendor with input from the NYSIIS Stakeholders. Once all transition tasks are complete, the vendor will be solely responsible for support of all NYSIIS functions and shall adhere to the signed contract.

Should the vendor not fully complete, to the NYSIIS Program Managers satisfaction, all tasks in the Transition Plan by the end of Phase II, the NYSDOH may at its discretion extend the time for Phase II. The vendor will receive no additional reimbursement for the additional time to complete Phase II. The Phase III transition period shall not begin until all tasks in the Transition Plan have been completed and an approved Service Level Agreement (SLA) has been signed by both parties. The initial SLA draft will be completed by the successful bidder. The NYSIIS Program Manager will modified and update. The SLA defines NYSDOH's service requirements and its expectations as to how the vendor will meet these requirements. This includes collaboration of the State and the contractor; Attachment X – NYSIIS Roles and Responsibilities Matrix outlines the NYS ITS, NYSIIS Program, the contractor, and Shared / Joint responsibilities.

Phase III – Full System Support

Timeframe: Beginning after the completion of Phase II.

The vendor shall provide full system support for the NYSIIS System. This support must meet or exceed the requirements defined in this RFP, Centers for Disease Control and Prevention (CDC IIS Functional Standards ([IIS Functional Standards v4.1 | CDC](#))) and any addition requirements in the SLA, which shall be finalized and approved by the Bureau of Surveillance and Data Systems during Phase II. The vendor will be required to commit

fully qualified professional resources to the maintenance support and enhancement of NYSIIS; the NYSDOH must approve key personnel (minimum technical staff positions for maintenance of NYSIIS as defined in section 4.2.) prior to their having any responsibility with the NYSIIS project for the duration of the contract.

Phase IV - Transition of Ownership

To ensure the NYSDOH success in continuing the support and maintenance of NYSIIS, NYSDOH has the following requirements:

- The selected vendor will be required to define and execute a knowledge transfer plan for transitioning NYSIIS knowledge to key staff or new vendor identified by the NYSDOH.
- The plan should include a process by which the vendor's system can be fully migrated
- The plan should include walk-throughs with key staff (NYSDOH and/or new vendor) of the fully configured system and documentation, as installed in the NYSDOH production environment.
- The plan should include all aspects of system and user administration, roles and responsibilities, software installation, and configuration.
- The plan should also include full conveyance of knowledge of the software and its implementation and execution.
- The plan will be subject to NYSDOH approval and satisfaction.

4.1.2 Operation and Maintenance support

Critical Production Performance Requirements

The NYSIIS production software environments must be available on business days, including State and Federal holidays (with the exception of New Year's Day, Independence Day, Thanksgiving Day, and Christmas Day), from 8:00 am to 5:00 pm Eastern Standard Time (EST), Monday through Friday. During this time, access to the NYSIIS production software environments must be available for users to update or view client and immunization information via the Web-based user interface or data exchange, as well as process NYSIIS system reports, with the following exceptions:

- Scheduled System Outage for the Production System - The application may not be available during periods of system maintenance or application upgrade. These time periods will be pre-approved by NYSIIS and the vendor, five working days prior to the scheduled outage. The Contractor must provide the NYSIIS Project Manager five (5) working days advance notification of application inability; however, if a hardware or software problems warrant correction within a shorter time period; upon approval of the NYSIIS Project Manager, those scheduled system outages shall not count against the Service Level Agreement (SLA).
- Emergency System Outage for the Production System - These should be reported through escalation procedures as appropriate per the NYSITS Information System Contingency Plan (ISCP)

Application interfaces must operate as scheduled with no error attributable to the NYSIIS code or processes.

A monthly average application response time of 20 seconds or less from the internet must be maintained. The monitoring will occur from the time the application receives the request until a response is sent back to the requestor. Latency issues related to the Health Commerce System (HCS) or NYS Directory Services segments will be referred to the responsible support teams for investigation and resolution as described in the ITS Enterprise Operations Incident Management Process & Policy.

Response to outages or problems will be reported within the prescribed time limit and assigned priority (see Production Performance Monitoring for more detail). Restoration of system operations will be achieved within the time frames required for help desk program error requirements.

Vendor will document all interruptions of application service availability during the hours of normal system availability that exceed 15 minutes in an operational incident report (OIR). The OIR will be created and delivered by the vendor and the NYSIIS Project Manager by the next business day to both NYSDOH and NYSITS.

Regression testing must be performed with each change of hardware and system maintenance release, including coordination between vendor and NYSIIS on user acceptance testing (UAT).

Normal System Activity

Vendor/NYSIIS maintenance and operations team will keep the Production, Training and Quality Assurance (QA) application environments appropriately up to date and provide support for those environments during regular business hours for the duration of the contract. "Appropriately" is defined as the version that is needed for the necessary functions required of the environment such that Training and Production environments should typically reflect the most current released version of NYSIIS. The QA region may have a different version as needed for appropriate testing or other necessary functions. The vendor shall ensure the NYSIIS Training, and QA environments will be available from 8:00 am to 5:00 pm EST, Monday through Friday; excluding New York State Holidays*.

*Note: New York State Holidays are designated as:

1. New Year's Day (January 1)
2. Martin Luther King's Birthday (3rd Monday in January)
3. Lincoln's Birthday (February 12)
4. Washington's Birthday (3rd Monday in February)
5. Memorial Day (last Monday in May)
6. Juneteenth (June 19)
7. Independence Day (July 4)
8. Labor Day (1st Monday in September)
9. Columbus Day (2nd Monday in October)
10. Veterans' Day (November 11)
11. Thanksgiving Day (4th Thursday in November)
12. Christmas Day (December 25)

Production Data Interfaces and Loading

The NYSIIS application must support data exchanges from providers, vital records and other partners. The vendor help desk will assist NYSDOH in the processing of initial provider data exchange files for data quality verification. The responsibility of managing communication in regard to the data loads will fall to NYSDOH. The vendor help desk will work with the providers and software vendors to review and accept the initial files for submission through the data exchange module.

Problem Response

The vendor will provide system support for the normal hours of business operations. The vendor will provide on-call support 24 hours a day, 365 days a year to resolve critical and high system defects or to run selected jobs. The vendor will provide on-call, after the normal hours of business production support between the hours of 5:00 pm to 8:00 am during the processing of daily, weekly, monthly, quarterly and annual jobs and to respond to critical and high-level system defects. A response outside of normal business hours should be initiated within 1 hour of an issue being reported. A critical or high system defect that would require after-hours support includes any defect that would prevent users from accessing the NYSIIS production environment by 8:00 am the next business day.

Problems that result in the NYSIIS Production environment becoming unavailable or causing significant performance issues to users, which NYSIIS help desk staff cannot resolve, will be immediately escalated by telephone to the vendor team. The vendor team will be responsible for notifying the NYSDOH NYSIIS Program Manager within 15 minutes by telephone. In the event the NYSDOH staff member cannot be contacted in person, a voice-mail message and an email message will be sent. If an outage occurs lasting more than 15 minutes, the vendor must generate an Operational Incident Report (OIR) and proceed with the notification process for a production outage documenting the following:

- Cause of outage
- The solution (fix)
- Amount of downtime relevant to each component of the NYSIIS
- Number of help desk calls received and answered due to the outage.

Following the initial notification of a problem:

- The vendor must verify system status based on notification from system monitoring equipment and

- software or information from the NYSIIS help desk.
- The vendor must follow the Attachment D - NYSITS Information System Contingency Plan (ISCP) in place and immediately notify the NYSIIS help desk of the issue and its status. If the system failure is determined to be hardware or network related, following specific testing to rule out application related problems, the vendor will work with the NYSIIS Program manager to submit the appropriate Information Technology Service Management (ITSM) service request.
- Upon initial notification, the vendor and NYSDOH program managers will determine a frequency interval for ongoing communications for the specific incident. Notifications will continue to the NYSDOH NYSIIS Program Manager until resolution and the problem level will dictate the frequency of these notifications.
- The NYSDOH will determine what and how notifications will be made to the NYSIIS providers.

Production Performance Monitoring

Vendor maintenance and operations staff are responsible for monitoring the system for system up-time and responses and will report these statistics on an as needed basis. These statistics may evolve depending upon NYSDOH network restrictions and Program needs. The following statistics are examples the vendor will monitor related to the NYSIIS production system:

- System availability
- Average response time for requests from the time one enters the NYSIIS User Interface (UI) until a reply is returned to the requester
- Number of visits and unique visitors
- Visit durations and last visit
- Authenticated users and last authenticated visit
- Pages viewed most often
- Rush hours – Shows the average activity over a 24-hour period
- Domains and countries of host visitors
- Host list, last visit, and unresolved IP addresses list
- Browsers used – Identifies each browser type, number of hits per browser type, and the specific browser version
- Operating system used – Identifies each operating system and number of hits per operating system
- Visits of robots – Tracks the different robots and spiders that have hit the site
- Search engines and keywords used – Reports the number of search engines or keywords used to find the site
- Cyber security incidents
- HTTP errors – Reports the number of errors, by error type (for example, page not found)

Status Reports and Project Management Requirements

The vendor will conduct weekly status meetings remotely to discuss pertinent issues/problems and results from previous week's activities, plans for the next week, and anticipated problems with suggested solutions or alternatives. The vendor's Project Manager will be required to participate, which can be accomplished by teleconference call.

- The vendor shall prepare weekly status reports. These status reports should clearly indicate the status of each action item and any expected changes to the time, quantity, or quality of the fix or deliverable. The status report should include details about the status of tasks and project deliverables that are completed, in process, planned, delayed, or added.
- Status Reports will also include counts of active provider organizations, patients, immunizations, data exchange jobs, system usage counts, help desk inquiry volume, blood lead system usage counts, and contact referrals.
- Status Reporting by the vendor every week will start at the onset of the contract and be due one (1) business day prior to the next scheduled weekly status meeting.
- Prepare and distribute the status reports for the weekly status meetings. Distribute with the weekly status report a summary of outstanding problems.
- The vendor is responsible for preparing weekly meeting agendas and reports, and other materials deemed appropriate and delivering them to the NYSIIS Program Manager for review and comments one (1) business day prior to the status meetings.

- Distribute status meeting minutes documenting the outcome of the meeting for future reference as well as action items. The vendor is responsible for producing and distributing meeting minutes within three business days following the meeting.
- The vendor Project Manager and/or appropriate vendor assigned staff, will be required to have an onsite presence at least quarterly for one business day, depending on the needs of the project.
- Conduct or participate in other meetings as requested by the NYSIIS Program Manager (e.g. meetings with NYS ITS), which can be accomplished by teleconference call.
- Maintain and support a web-based problem log tracking system to track and log NYSIIS software problems identified through the help desk, monitoring programs, or NYSDOH staff.
- Maintain a centrally managed and accessible digital, historical repository of documents produced as part of NYSIIS maintenance activities or system enhancements.
- The vendor shall update the schedule every month thereafter for the life of the contract or as requested by the NYSIIS Program Manager.
- Prepare reports or data extracts upon request by the Bureau of Surveillance and Data Systems for NYSDOH or Centers for Disease Control (CDC) reporting needs (e.g. new grant submissions).
- Participate in internal and external audits and reviews of NYSIIS as required by the State which includes supporting any system documentation requests, status reports, project plans, timecards, and/or meetings which can be accomplished by teleconference call.

System Maintenance and Operations Documentation

The vendor will maintain NYSIIS system documentation as outlined in the following table:

DOCUMENTATION DELIVERABLE	OVERVIEW
User Manual	User documentation to coincide with all software releases. The vendor will deliver updated documentation the day the release is in production, and will upload it to the NYSIIS application. The vendor shall identify the user documentation as a deliverable on each software release project plan.
System Documentation	Update system documentation within 20 working days of a software release, coordinate updates that overlap during milestones and identify the system documentation as a deliverable on each software release project plan.
Operations Manual	Update the operations manual twice per year, after each major software release, and upon request from the State.
Data dictionary/database structure	Update the NYSIIS data dictionary and database structure as changes are made to the system involving the database

Releases during Maintenance and Operations

The vendor will establish release dates jointly with the NYSDOH. Releases will be defined as a result of enhancements and/or fixes prioritized through the change control process (see section 4.1.3 Change Management and System Enhancement Requirements for more details). The vendor will provide upgrades, enhancements, and bug fix services as prioritized by NYSDOH. The vendor will maintain the NYSIIS project plan to help define expectations on scheduling and timelines for the appropriate release. This should be updated as needed, at least monthly. The vendor must follow current software development methodology, including all applicable parts of the NYS Secure Software Development Lifecycle (SSDLC) as defined at <https://its.ny.gov/eiso/policies/security>, as part of any release. Documentation will be made available and reviewed by NYSDOH, additional proper development and testing methodologies will be followed prior to presenting a new release to NYSDOH for testing and acceptance.

The vendor maintenance and operations team will report on the progress of releases during the weekly status meetings. Changes resulting from program errors may require modifications to the release schedule in order to complete resolution as required. The vendor and NYSDOH will need to coordinate with the appropriate entities on implementation activities based on specific system areas that will be affected.

The vendor will conduct performance acceptance testing of new versions of applications or of significant enhancements that are ready for production. This will be accomplished by vendor support of a development server outside of the NYSIIS Production, Training and QA environments.

The vendor will install and maintain application upgrades. Any change related to the NYSIIS infrastructure supported by ITS such as servers, storage, backup, network and operating systems will need to follow ITS Enterprise Operations Change Management Process & Policy.

Disaster Recovery Plan and Testing

The vendor shall submit a NYSIIS Disaster Recovery Plan to maximize provisions for continuous availability (warm site) or timely recovery and resumption of service during times of disaster. The plan is due within 3 months of Phase III starting (full system support). The vendor shall work with the State to submit updates to the NYSDOH for review and approval annually and prior to any significant system update. The vendor shall conduct or participate in annual disaster recovery tests and update the Disaster Recovery Plan to improve on identified issues as directed and coordinated by ITS. The vendor shall have all systems and system databases recovered within 24 hours after a disaster occurs once ITS makes available the appropriate hardware and operating system.

4.1.3 Change Management and System Enhancements (New and Ongoing Development)

The vendor will perform systems changes including but not limited to:

- Changes necessary for continued operations of the system. This includes interface changes, bug corrections, and changes to look-up tables.
- Changes to vaccines, rules for vaccine recommendations and administration, and coverage criteria for state-supplied vaccines. As new vaccines are developed, modifications to the NYSIIS scheduler will be required to access the completeness of the administration of the series and to calculate the date the next shot is due. This information will need to be included in the data exchange messages and modifications to the NYSIIS User Interface (UI).
- Changes necessary to support upgrades to the hardware platform as identified by NYSDOH and NYSITS, analyzing impact; defining changes; coding changes required for compatibility with new hardware; reinstalling the current application; and unit, integration, and regression testing.
- Upgrades to the software platform, analyzing impact; defining changes; coding changes required for compatibility with new software; coordinating implementation with NYSDOH and NYSITS; and unit, integration, and regression testing.
- Gap analysis, requirement definition, and detailed specifications, necessary coding changes and all aspects of testing for modules received from other states that use the Wisconsin Immunization Registry (WIR).
- Support of connections to the Early Hearing Detection Intervention (EHDI) application

The vendor will also provide the following new and ongoing development services:

- Upgrades, enhancements, and application modifications to meet additional New York State requirements as prioritized by NYSDOH.
- IIS to IIS Data Exchange via the IZGateway as well as updates to the NYSIIS User Interface for the submission of manual queries to another IIS and the redirection of HL7 queries received by NYSIIS to the appropriate IIS if the address indicates the person resides in another IIS geopolitical area.
- Routine, non-manual, addressing cleaning (https://repository.immregistries.org/files/resources/5bbb822b9f688/addresscleansing_final.pdf).
- Improvements to the user interface and processing of data for read-only users (e.g., schools and HMOs)
- Consuming VIS and vaccine fund source indicator (public/private) via HL7

- Enhancements to Data Exchange Messaging Standards. Although CDC had IIS adopt HL7 2.5.1 as the messaging standard, it is expected that other changes will come. Upgrades to versions higher than Version 2.5.1 of the Implementation Guide for Immunization Data Transactions of the Health Level 7 (HL7) Standard may also likely occur. In addition, the vendor should be prepared to support HL7 Fast Healthcare Interoperability Resources (FHIR).
- Changes required by federal or state statutes, regulations and/or rule changes and reporting, including specifically but not limited to, the CDC <http://www.cdc.gov/vaccines>, Office of the National Coordinator for Health Information Technology, Advisory Committee on Immunization Practices (ACIP) <http://www.cdc.gov/vaccines/recs/ACIP/default.htm>, and WIR updates as appropriate.
- NYSDOH will pursue partnerships with other groups that include the exchange of data that the NYSIIS application can support. Upon recognized needs of the program, the vendor will need to develop new specifications following the enhancement process.

The enhancement work identified will be provided by the selected vendor at the rates agreed upon in the contract, with adjustment to project schedules and required timeframes and milestones as appropriate. The vendor will conduct performance acceptance testing of new versions of applications or of significant enhancements that are ready for production. All enhancement work must be represented on all project reports, clearly indicating progress and their status.

As part of each release the vendor will provide a copy of all current software, Database schema, source code, and installation instructions.

As part of each release the vendor will be required provide detailed test plans (DTPs).

The NYSIIS staff will prioritize all change requests against ongoing enhancement requests and outstanding incidents through the weekly NYSIIS status meetings. The timeframe for resolution of incidents will depend on the nature of the system problem or issue to be addressed. Changes related to the NYSIIS infrastructure impacting services supported by ITS, such as servers, storage, backup, network and operating systems, will follow ITS Enterprise Operations Change Management Process & Policy. Additional data center resource and ITS services will need to follow ITS Enterprise Operations Service Request Management Process & Policy.

The vendor shall propose a change/enhancement request form and logging process for managing all changes and system enhancements. The form should include at a minimum, a description of the business requirements, the technical specifications required to satisfy the request, fixed hour estimates, estimated timeframe and appropriate approval signatures for each enhancement request or change request. The log should include at a minimum, the change request number, a link to the Change Request Form, a description of the enhancement or change, the priority (high, medium, low), the status and the date of delivery. The vendor will deliver a draft of the form and log as part of the RFP.

4.1.4 NYSIIS Help Desk and User Support Deliverables

The vendor will provide the following support:

- Help Desk Support
- User Support

Help Desk Support

The vendor shall support the NYSIIS user community and approximately 20 NYSIIS Program staff, including the following:

- Availability and use of product-trained technicians
- Ticket response time standards (follow-up and resolution)
- Ticket escalation and resolution model
- Ticket status reporting
- Schedule of help desk hours of operation and availability
- Toll-free help desk phone number
- Help desk email address
- Weekly reports of all calls received
- HL7 Data exchange support
- Assistance with patient reduplication (merges)

Help desk personnel will provide answers to NYSIIS user inquiries relating to problem resolution and product information, as well as assist users with specific organization level system reports and data exchange set up. Tier 1 and Tier 2 help desk support services will be available on State business days, Monday – Friday, 8:00 am to 5:00 pm, EST. Exceptions to this will be made for State holidays or when prior approval has been obtained from the NYSDOH Program Manager. System users shall have direct access to help desk support through a toll-free number and email provided by the vendor. All calls will be documented and tracked by the help desk with a call tracking system provided by the vendor. Regular call activity reports will be produced and provided to NYSDOH in weekly status reports or as requested by the NYSIIS Program Manager. There will be a three-tiered response process with every call or email generating a ticket.

Tier 1: This tier will track and disseminate calls to the appropriate group for resolution. Basic user assistance and issues will be resolved at Tier 1. Any calls requiring specific business knowledge will be forwarded to the vendor's Lead Business Analyst or Project Manager. Calls requiring application changes or possible hardware/system software issues will be escalated to Tier 2.

Tier 2: Vendor help desk staff at this tier will research and examine issues and resolve them if possible. These tickets will relate to more complex user issues than the basic assistance covered in Tier 1. Help desk staff will determine whether the issue is related to user error, lack of training or a hardware or software problem. If the issue is related to hardware or operating software, the issue will be forwarded to the vendor Project Manager. If the issue is related to the NYSIIS application, the issue will be escalated to Tier 3.

Tier 3: Vendor help desk staff at this tier will provide diagnostic help or interface with the vendor team as needed to resolve questions and problems and to track the final resolution. Application fixes shall be completed by the vendor team as high-level priority tasks. If the issue is attributed to the hardware or system operating software, the issue will be forwarded to the vendor Project Manager. The vendor shall follow the approved Change Management and System Enhancement process (4.1.3) for all calls resulting in a need for application changes.

Help desk personnel will log calls and emails in a call-tracking application and report statistics weekly. Expectations are that 95% of all inquiries will be responded to within the course of one business day. Inquiries not responded to within the course of one business day will be reported to the Project Manager and the NYSDOH for further investigation.

Expectations are that 90% of all calls or emails will be resolved during the point of initial contact. Calls or emails not responded to during the initial contact will follow the three-tiered response process. Emails and telephone messages will be replied to within 24 hours of receipt within normal business working days.

Call/email volume, call length, call/email trends, open call/email inquiries will be reported and reviewed as part of the ongoing project status meeting with NYSDOH. Historical inquiry volume is below as the average number of calls/emails per week. Note that in 2021 and 2022 the Department was responding to the COVID-19 pandemic with an active immunization program.

2018 Average =182
2019 Average =156
2020 Average =184
2021 Average = 406
2022 Average = 302

Example of the top inquiry categories for a typical week in 2023 are:

NYSIIS Access	37
NYSIIS Modify User	36
MERGE records	18
Data Exchange (calls)	2
Blood Lead	2

Help Desk staff skill requirements are defined as follows (the vendor should respond with the appropriate number of FTE's they feel they need to support the requirements of the RFP):

Required Skills:

- Associate's or bachelor's degree, or technical institute degree/certificate in Computer Science, Information Systems, or other related field.
- Three (3) years' experience working in a Service Desk/Help Desk environment
- Must be detailed oriented, have strong people skills, and able to communicate ideas and results effectively in both oral and written form.

Preferred Skills:

- Three (3) years' experience working in a Service Desk/Help Desk environment with demonstrated working knowledge of basic IIS products and problem solving/troubleshooting skills

At any time throughout the course of the contract, the Department reserves the right to approve or disapprove the contractor's proposed staffing, including consultants or subcontractors and may request a replacement of such staffing, consultant, or subcontractor, if needed.

User Support and Training

The vendor shall work with NYSIIS users to define priorities, understand business needs, and provide technical and functional support. The vendor is expected to review existing self-guided online training videos and develop new videos to include enhancements to existing functionality and new functionality. Six videos (new and updates) will be due during the contract period, approximately 1-2 per year, as needed and requested by the NYSIIS Program Manager. The vendor will provide appropriate training to ITS and NYSDOH staff members as needed to enable them to provide appropriate support for the system.

Client Problem Resolution – the vendor will provide support to research user questions about clients such as incorrect birth dates received from vital loads and potential duplicate clients.

4.1.5 Blood Lead Support Deliverables

Blood Lead Support is the provision of core project team resources to support the blood lead module of the NYSIIS system. The Blood Lead module in NYSIIS allows users to view, manage, and add blood lead test results if authorized. All NYSIIS standard and administrative users, as appropriate by law, are able to view lead test results. Users can add blood lead test results only if their organization has Clinical Laboratory Improvement Amendments certification by NYSDOH's Physician Office Laboratory Evaluation Program and approval by the NYSDOH Childhood Lead Poisoning Prevention Program (CLPPP). Individual blood lead test results can be printed using the Blood Lead Report. The following system generated Blood Lead Reports are also available for authorized users; Follow-Up List Reports, Test Due List Reports, Age Exceeded List Reports, Aggregate Clinical Performance Reports, Performance List Reports, and Limited History Reports. On average, 20 Blood Lead Reports are generated by fifteen (15) organizations.

Blood Lead Maintenance

The Blood Lead Module requires the following of the Contractor beyond NYSIIS General Maintenance Requirements (see section 4.2 Operational General Maintenance Deliverables for more details):

- Help desk support for NYSIIS Users that need Blood Lead Module help
- Support of the Lead User Interface and Data Exchange
- Perform merging of historical and current blood lead test as needed by the Blood Lead Program (average of 25 merges per month)

Blood Lead Changes and Enhancements

During the life of the contract, changes and enhancements will need to occur in the Blood Lead Module that go beyond routine maintenance. The vendor will perform systems changes and enhancements, pending funding availability, including but not limited to continued improvement and updates of the Lead Test Scheduler; enhance existing and create new blood lead reports; training materials to assist users in utilizing the lead module; Blood Lead Module upgrades, enhancements and bug fix services as prioritized by NYSDOH.

4.2 Staffing

The Contractor must have the ability to recruit qualified staff, assure availability of these staff from the time of award until the end of the contract.

Minimum Technical staff positions for maintenance of NYSIIS are defined as follows:

Developer/System Engineer (vendor should respond with the appropriate number of developer/system engineer staff they need to support the requirements of the RFP):

Required Skills:

- Degree in Computer Engineering, Computer Science, or related field.
- Three (3) years' experience in a software engineering environment
- Three (3) years' technical and functional experience designing, analyzing, integrating, tailoring, and/or implementing software using Java, C++, or .NET
- Three (3) years' experience working in RDBMS and ODBC/JDBC
- Three (3) years' experience working experience with SOAP/REST

Preferred Skills:

- Five (5) years' experience in a software engineering environment
- Five (5) years' technical and functional experience designing, analyzing, integrating, tailoring, and/or implementing software using Java, C++, or .NET
- Five (5) years' experience working in RDBMS and ODBC/JDBC
- Five (5) years' experience working experience with SOAP/REST
- Two (2) years' experience as an IIS developer
- Masters degree in Computer Engineering, Computer Science, or related field

Lead Business Analyst (1)

Required Skills:

- Degree in Administration, Computer Engineering, Computer Science, or related field
- Three (3) years' experience in health care business and technology background
- Three (3) years' experience with analytical and product management rolls, including a thorough understanding of how to interpret customer business needs and translate them into application and operational requirements

Preferred Skills:

- Five (5) years' experience in health care business and technology background
- Five (5) years' experience with analytical and product management rolls, including a thorough understanding of how to interpret customer business needs and translate them into application and

- operational requirements
- Microsoft Excel certification
- Two (2) years' experience as an IIS Business Analyst (BA)

Database Administrator (1)

Required Skills:

- Degree in Administration, Computer Science, Management Information Systems, or related field
- Three (3) years' experience in planning, installation, configuration, database design, migration, performance monitoring, security and troubleshooting, as well as backup and data recovery
- Three (3) years' experience in programming, particularly knowledge of structured query language (SQL), Unix and database management systems (DBMS).

Preferred Skills:

- Five (5) years' experience in planning, installation, configuration, database design, migration, performance monitoring, security and troubleshooting, as well as backup and data recovery
- Five (5) years' experience in programming, particularly knowledge of structured query language (SQL), Unix and database management systems (DBMS).
- Two years' experience as an IIS Database Administrator

Project Manager (1)

The vendor will be required to assign a Project Manager to the project who will act as the single point of contact with the NYSDOH and who will have authority over all of the selected vendor's resources assigned to the project. The vendor's assigned Project Manager must be fully engaged in managing the project and will be required to have a presence at the NYSDOH once per quarter.

Required Skills:

- Degree in Administration, Computer Science, Engineering or a related major
- Five (5) years of business development experience is required; business development experience should include: creating business plans, managing relationships, conducting presentations, and meeting goals.
- Five (5) years' experience in managing projects utilizing the product development lifecycle or a systems development lifecycle
- Five (5) years' experience using project management tools (e.g. MS Project, Clarity)
- Ability to navigate within a deadline driven matrix organization

Preferred skills:

- Project Management Institute certification as a Project Management Professional
- Five (5) years of IIS experience

All staff assigned to this contract are subject to DOH approval prior to commencing work. During the term of the contract, if substitution of staff is required, the qualifications of the newly appointed staff will need to meet or exceed the competencies of those staff previously identified in this endeavor. Any substitutions will be subject to DOH approval in writing.

4.3 Acceptance of Work Products

The NYSDOH will define quality and acceptance criteria to each iteration and final release of all new functionality released to NYSIIS. **Note:** The NYSDOH is unable to define these criteria in detail due to the variability in technical solution proposed for each release. Once defined, the quality criteria and goals must be executed by the selected vendor *before* delivery of any iteration or the final release. The NYSDOH will define specific, measurable quality criteria for these general areas of inspection:

- Achievement of requirements
- System architecture
- System security
- System reliability
- System performance

- Technical system and user documentation

4.4 Iterative and Final Release Validation

The NYSDOH will verify and validate every iterative release of functionality from the selected vendor. The NYSDOH will verify and validate the achievement of requirements and/or tasks and associated quality goals. The NYSDOH retains the right to reject any iterative milestone and/or the final release as presented by the selected vendor. The specific procedures and durations of iterative and final reviews will be determined at the start of the project or per release. The NYSDOH, with input from the selected vendor, will establish a reasonable timeframe for iterative milestones and final release review.

4.5 Achievement of Requirements

The “achievement of requirements” quality goal is: delivery to and acceptance by the NYSDOH of 100% of all requirements, as defined in this RFP and any additional requirements identified and mutually agreed upon during each functional release.

4.6 System Security

The “system security” quality goal is: a positive security risk assessment with no critical findings. Specific goals per iteration and final release may vary but always need to conform to all applicable NYS Information Security Policies and Standards found at <https://its.ny.gov/eiso/policies/security>, including, but not limited to, Vulnerability Scanning and Secure System Development Life Cycle (SSDLC) Standards. NYSDOH requires quarterly web application security scans and in-depth application security scans of the application before being deployed into production for each release. All vulnerabilities found during scans must be addressed as per the NYS Vulnerability Scanning Standard.

In addition, periodic independent assessment of system security by the NYS ITS Enterprise Information Security Officer or designated staff; this assessment may include, but not be limited to, discussions highlighting weaknesses, unaddressed risks, or questionable areas of the solution in the context of exploit and security breach.

4.7 System Reliability

The “system reliability” quality goal is: 99.0% passing tests with no critical incidents outstanding. Specific goals per iteration may vary.

Note: A passing test is one that can be run in its entirety without error. A test that cannot be run because it or the feature it tests is not implemented or fully implemented will be counted as a failure.

The NYSDOH expects to follow these general rules within any given iteration:

Passing	Indication
< 80.0%	Not ready for NYSDOH acceptance.
> 80.0% < 99.0%	Ready for open issues review and discussion with the NYSDOH; review of critical issues with the NYSDOH. The NYSDOH may, at its discretion, not accept the iteration or final release.
> 99.0%	NYSDOH acceptance (excepting critical incidents).

4.8 Wisconsin Immunization Registry (WIR) Limited License Agreement and Additional Terms

NYSDOH is currently participating in the WIR consortium group, whose purpose is to facilitate sharing of requirements and code development of the WIR system. According to the WIR LLA, NYSDOH is required to notify Wisconsin of all modifications made to the WIR and to release written documentation and code to Wisconsin. The vendor selected under the NYSIIS contract may be required as part of maintenance support to provide any services required to fulfill New York's obligations under the WIR LLA (Attachment C). By submitting a bid under this solicitation, the vendor acknowledges that it has read and understood the WIR terms of such license or affect the licensed code, comply with the WIR LLA.

The intention of this solicitation is that the NYSDOH will exclusively own and be able to use the Deliverables apart from any claim or right of the vendor, except as stated in "Vendor Technology" immediately below. Subject to the "Vendor Technology" paragraph immediately below, the vendor releases to the NYSDOH, all right, title and interest in and to the copyright, and all other rights, in and to any and all software, technical information, specifications, drawings, records, documentation, data and other work products first originated and prepared by the vendor for delivery to the NYSDOH hereunder (the "Deliverables").

Vendor Technology:

The vendor has created, acquired or otherwise has rights in, and may, in connection with the performance of Services for the NYSDOH, employ, provide, create, acquire or otherwise obtain rights in various concepts, ideas, methods, methodologies, procedures, processes, know-how, techniques, models, templates and general-purpose consulting and software tools, utilities and routines ("Vendor Technology"). To the extent that any Vendor Technology is contained in any of the deliverables, the vendor hereby grants the NYSDOH a royalty-free, fully paid, worldwide, perpetual, non-exclusive and transferable license to use such Vendor Technology in connection with the deliverables and NYSIIS for the NYSDOH's purposes and in accordance with and to comply with the applicable terms of the WIR license. The vendor shall not acquire any right, title and interest in and to the copyrights for goods, any and all software, technical information, specifications, drawings, records, documentation, data or derivative works thereof, or other work products provided by the NYSDOH to the vendor.

Additionally, if code that meets a NYSDOH requirement for the NYSIIS can be obtained from Wisconsin or another state that uses the WIR, as applicable, then the vendor is required to acquire that code and related materials for the NYSDOH under licenses and terms acceptable to the NYSDOH from those other states to be implemented in NYSIIS. The effort to retrofit the code to the NYSIIS system is considered a maintenance support activity and not an enhancement.

4.9 Information Technology

The application and all systems and components supporting it, including, but not limited to, any forms and databases that include Personal Health, Personal Identification or other New York State information, must comply with all NYS security policies and standards listed at <http://its.ny.gov/tables/technologypolicyindex.htm>.

4.10 Hardware and Software

NYS Office of Information Technology Services (ITS) is responsible for the maintenance and upkeep of all servers, storage, backup, network and operating systems for the application. The vendor maintenance and operations team will be responsible for providing maintenance support for changes in the application, including those relating to all hardware and operating system upgrades performed by ITS, and ensuring that application and software vulnerabilities are addressed according to NYS Vulnerabilities Scanning and Patch Management Standards, found at <https://its.ny.gov/eiso/policies/security>. The vendor maintenance and operations team should advise ITS and NYSDOH when a proposed major software upgrade may negatively impact the NYSIIS software application performance so that the NYSIIS software application impacts can be evaluated and accommodated. NYSDOH will provide all applicable software licenses. The vendor is responsible for all software installation, including database and middleware, in all NYSIIS environments, including any Disaster

Recovery. The vendor is also responsible for software operation monitoring including database backup and replication.

4.11 Security

The selected Contractor shall comply with all privacy and security policies and procedures of the Department ([nys-p03-002_information_security_policy.pdf](#)) and applicable State and Federal law and administrative guidance with respect to the performance of the Contract. The Contractor is required, if applicable, to execute a number of security and privacy agreements with the Department including a Business Associate Agreement (Appendix H) and a Data Use Agreement (DUA) at contract signing.

The Contractor is expected to provide secure and confidential backup, storage and transmission for hard copy and electronically stored information. Under no circumstances will any records be released to any person, agency, or organization without specific written permission of the DOH. The Contractor is obligated to ensure any Subcontractor hired by Contractor who stores, processes, analyzes or transmits MCD on behalf of Contractor has the appropriate security requirements in place. Contractor is required to include in all subcontracts and Business Associate Agreements with their Subcontractors language surrounding the security and privacy requirements as well as the language contained in the Confidentiality Language for Third Parties section of the DUA. If any breach or suspected breach of the data or confidentiality occurs, whether the breach occurred with the Contractor or Subcontractor, DOH must be notified immediately.

The Contractor is required to maintain and provide to the Department upon request their data confidentiality plans and procedures for meeting security requirements as they relate to the deliverables and services within this RFP, including all plans as they relate to subcontractor work where applicable. Contractor will develop and maintain adequate fully trained staff to respond to all stakeholder inquiries while protecting confidentiality and maintaining the security and integrity of all systems. Staff must be trained to understand and observe requirements related to confidentiality and operating guidelines for functions included in this RFP.

The Contractor will comply fully with all current and future updates of the security procedures of the DOH as well as with all applicable State and Federal requirements, in performance of the Contract.

4.12 Transition

The transition represents a period when the contract activities performed by the winning bid Contractor must be turned over to the Department, another Department agent or successor Contractor during or at the end of the Contract Term.

The Contractor shall manage and maintain the appropriate number of staff to meet all requirements listed in the RFP during the transition. All reporting and record requirements, security standards, and performance standards are still in effect during the transition period.

Contractor is required to develop a work plan and timeline to securely and smoothly transfer any data and records generated from the inception of the Contract through the end of the Contract to the Department or another Department agent should that be required during or upon expiration of its Contract. The plan and documentation must be submitted to the Department no later than twelve (12) months before the last day of its Contract with the Department of Health or upon request of the Department.

4.13 Payment

Payment of invoices and/or vouchers submitted by the successful Bidder pursuant to the terms of the Contract entered into pursuant to this RFP by the Department shall be made in accordance with Article XI-A of the New York State Finance Law. Payment terms will be:

The contractor shall be paid monthly to provide **service based** NYSIIS general maintenance and support, blood lead support, NYSIIS transitional and operational responsibility and NYSIIS Change Management and Enhancements. This monthly payment will be based on the single, current contract year total for service provided (not including hourly based service) divided by twelve (12) plus the one-time deliverables which will be paid upon completion and include:

- Phase I (Section 4.10.1: Assessment of Current Environment)
- Phase II (Section 4.10.2: Systems Support Transition, this includes completion of SLA)
- Phase III (Section 4.10.3: Full System Support)
- Phase IV (Section 4.10.4: Transition of Ownership)

The contractor will also provide an estimate for **hourly based** services (Change Requests and System Enhancements) by Position Titles to be utilized for all change requests and subsequent system enhancements. Any estimate for system change/enhancement from the successful bidder must use the hourly rates for the specific titles as quoted in the Cost Sheet Bid Form (Attachment B). The contractor will be paid the estimate amount upon the NYSDOH's acceptance and approval of all change requests and subsequent system enhancements.

The contractor shall submit invoices and/or vouchers to the State's designated payment office every month: Email a .pdf copy of your signed voucher to the NYS Business Services Center (BSC) at:

AccountsPayable@ogs.ny.gov

And ImmAdmin@health.ny.gov with a subject field as follows:

Subject: **Unit ID 3450249 Contract # C TBD; MONTH**

4.14 Subcontracting

Bidder's may propose the use of a subcontractor. The Contractor shall obtain prior written approval from NYSDOH before entering into an agreement for services to be provided by a subcontractor. The Contractor is solely responsible for assuring that all the requirements of this RFP is met. All subcontracts shall contain provisions specifying that the work performed by the subcontractor must be in accordance with the terms of the prime contract, and that the subcontractor specifically agrees to be bound by the confidentiality provisions set forth in the agreement between the DOH and the Contractor. DOH reserves the right to request removal of any Bidder's staff or subcontractor's staff if, in DOH's discretion, such staff is not performing in accordance with the Contract.

NOTE: Subcontractors whose contracts are valued at or above \$100,000 will be required to submit the Vendor Responsibility Questionnaire upon selection of the prime Contractor.

4.15 Contract Insurance Requirements

Prior to the start of work under the Contract, the Contractor shall procure, at its sole cost and expense, and shall maintain in force at all times during the term of the Contract, insurance of the types and in the amounts set forth in [Attachment 8](#), the New York State Department of Health Contract, Section IV. Contract Insurance Requirements as well as below.

Data Breach and Privacy/Cyber Liability The Contractor and any subcontractor retained by the Contractor shall carry and maintain applicable coverage during and for a period of one (1) years after completion of this contract, Data Breach and Privacy/Cyber Liability Insurance, including coverage for failure to protect confidential information and failure of the security of the Contractor's computer systems or the DOH's

Authorized Users' systems due to the actions of the Contractor with results in the unauthorized access to the DOH's data.

4.16 Minority & Women-Owned Business Enterprise (M/WBE) Requirements

Pursuant to New York State Executive Law Article 15-A, the Department recognizes its obligation to promote opportunities for maximum feasible participation of **certified** minority-and woman-owned business enterprises and the employment of minority group members and women in the performance of DOH contracts.

4.16.1 Business Participation Opportunities for M/WBEs

For purposes of this RFP, DOH hereby establishes an overall goal of *Insert Goal%* for M/WBE participation, **15%** for Minority-Owned Business Enterprises ("MBEs") participation and **15%** for Women-Owned Business Enterprises ("WBEs"), based on the current availability of qualified MBEs and WBEs and outreach efforts to certified M/WBE firms. The successful Bidder who becomes the Contractor under the Contract entered into with the Department pursuant to this RFP must document good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in the performance of the Contract consistent with the M/WBE participation goals established for this procurement, and Contractor must agree that DOH may withhold payment pending receipt of the required M/WBE documentation. For guidance on how DOH will determine "good faith efforts," refer to 5 NYCRR §142.8.

The directory of New York State Certified M/WBEs can be viewed at: <https://ny.newnycontracts.com>. The directory is found in the upper right-hand side of the webpage under "Search for Certified Firms" and accessed by clicking on the link entitled "MWBE Directory". Engaging with firms found in the directory with like product(s) and/or service(s) is strongly encouraged, and all communication efforts and responses should be well documented to establish Contractor's "good faith efforts".

By submitting a Bid in response to this RFP, a Bidder agrees to complete an M/WBE Utilization Plan ([Attachment 5](#), Form #1) for this RFP. DOH will review the submitted M/WBE Utilization Plan. If the Plan is not accepted, DOH may issue a notice of deficiency. If a notice of deficiency is issued, Bidder agrees that it shall respond to the notice of deficiency within seven (7) business days after Bidder's receipt of such notice. DOH may disqualify a Bidder as being non-responsive to this RFP under the following circumstances:

- a) If a Bidder fails to submit a M/WBE Utilization Plan;
- b) If a Bidder fails to submit a written remedy to a notice of deficiency;
- c) If a Bidder fails to submit a request for waiver (if applicable); or
- d) If DOH determines that the Bidder has failed to document good-faith efforts to provide meaningful participation by M/WBEs under the Contract in accordance with the goals for this RFP established by the Department;

The Contractor will be required to attempt to utilize, in good faith, any MBE or WBE identified in its M/WBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to DOH but must be made no later than prior to the submission of a request for final payment on the Contract.

The Contractor will be required to submit a Contractor's Quarterly M/WBE Contractor Compliance & Payment Report to the DOH, by the 10th day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the M/WBE goals of the Contract.

If (a) the Department determines that the Contractor is not in compliance with the M/WBE requirements of the Contract and the Contractor refuses to comply with such requirements, or (b) the Department finds that the Contractor has willfully and intentionally failed to comply with the M/WBE participation goals established in the Contract, the Contractor may be required to pay to the Department liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to M/WBEs had the Contractor achieved the contractual M/WBE goals; and (2) all sums actually paid to M/WBEs for work performed or materials supplied under the Contract.

A New York State certified Minority- and Women-Owned Businesses (M/WBE) may request that their firm's contact information be included on a list of M/WBE firms interested in serving as a subcontractor for this procurement. The listing will be publicly posted on the Department's website for reference by the bidding community. A firm requesting inclusion on this list should send contact information and a copy of its NYS M/WBE certification to BidderforNYSIIS@health.ny.gov before the Deadline for Questions as specified in [Section 1](#). (Calendar of Events). Nothing prohibits an M/WBE Vendor from proposing as a prime Contractor.

Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.)

4.17 Participation Opportunities for NYS Certified Service-Disabled Veteran-Owned Businesses

Article 17-B of the New York State Executive Law provides for more meaningful participation in public procurement by NYS-certified Service-Disabled Veteran-Owned Businesses ("SDVOBs"), thereby further integrating such businesses into New York State's economy. DOH recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of DOH contracts.

In recognition of the service and sacrifices made by service-disabled veterans and in recognition of their economic activity in doing business in New York State, Bidders/Contractors are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the Contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

For purposes of this procurement, DOH conducted a comprehensive search and determined that the Contract does not offer sufficient opportunities to set specific goals for participation by SDVOBs as subcontractors, service providers, and suppliers to Contractor. Nevertheless, Bidder/Contractor is encouraged to make good faith efforts to promote and assist in the participation of SDVOBs on the Contract for the provision of services and materials. The directory of New York State Certified SDVOBs can be viewed at: <https://ogs.ny.gov/veterans/>

Bidders are encouraged to contact the Office of General Services' Division of Service-Disabled Veteran's Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss methods of maximizing participation by SDVOBs on the Contract.

5 ADMINISTRATIVE INFORMATION

The following administrative information will apply to this RFP. Failure to comply fully with this information may result in disqualification of your proposal.

5.1 Restricted Period

"Restricted period" means the period of time commencing with the earliest written notice, advertisement, or solicitation of a Request for Proposals ("RFP"), Invitation for Bids ("IFB"), or solicitation of proposals, or any other method for soliciting a response from bidders intending to result in a procurement contract with DOH and ending with the final contract award and approval by DOH and, where applicable, final contract approval by the Office of the State Comptroller.

Pursuant to State Finance Law §§ 139-j and 139-k, the Department of Health identifies designated contacts on face page of this RFP to whom all communications attempting to influence this procurement must be made.

This prohibition applies to any oral, written, or electronic communication under circumstances where a reasonable person would infer that the communication was intended to influence this procurement. Violation of any of the requirements described in this Section may be grounds for a determination that the bidder is non-responsible and therefore ineligible for this contract award. Two (2) violations within four (4) years of the rules against impermissible contacts during the “restricted period” may result in the violator being debarred from participating in DOH procurements for a period of four (4) years.

5.2 Questions

There will be an opportunity available for submission of written questions and requests for clarification with regard to this RFP. All questions and requests for clarification of this RFP should cite the particular RFP Section and paragraph number where applicable and must be submitted via email to

BidderforNYSIIS@health.ny.gov It is the bidder’s responsibility to ensure that email containing written questions and/or requests for clarification is received at the above address no later than the Deadline for Submission of Written Questions as specified in Calendar of Events. Questions received after the deadline may **not** be answered.

5.3 Right to Modify RFP

DOH reserves the right to modify any part of this RFP, including but not limited to, the date and time by which proposals must be submitted and received by DOH, at any time prior to the Deadline for Submission of Proposals specified in Calendar of Events. Modifications to this RFP shall be made by issuance of amendments and/or addenda.

Prior to the Deadline for Submission of Proposals, any such clarifications or modifications as deemed necessary by DOH will be posted to the DOH website.

If a prospective bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the bidder shall immediately notify DOH of such error in writing at *insert a BML* and request clarification or modification of the RFP.

If, prior to the Deadline for Submission of Proposals, a bidder fails to notify DOH of a known error or an error that reasonably should have been known, the bidder shall assume the risk of proposing. If awarded the Contract, the bidder shall not be entitled to additional compensation by reason of the error or its correction.

5.4 DOH’s Reserved Rights

The Department of Health reserves the right to:

- Reject any or all proposals received in response to the RFP;
- Withdraw the RFP at any time, at the Department’s sole discretion;
- Make an award under the RFP in whole or in part;
- Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
- Seek clarifications and revisions of proposals;
- Use proposal information obtained through site visits, management interviews and the State’s investigation of a bidder’s qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the Department’s request for clarifying information in the course of evaluation and/or selection under the RFP;
- Prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available;
- Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;
- Change any of the scheduled dates;

- Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders;
- Waive any requirements that are not material;
- Negotiate with the successful bidder within the scope of the RFP in the best interests of the State;
- Conduct contract negotiations with the next responsible bidder, should the Department be unsuccessful in negotiating with the selected bidder;
- Utilize any and all ideas submitted in the proposals received;
- Every offer shall be firm and not revocable for a period of three hundred and sixty-five (365) days from the bid opening, to the extent not inconsistent with section 2-205 of the uniform commercial code. Subsequent to such three hundred and sixty-five days, any bid is subject to withdrawal communicated in a writing signed by the bidder; and,
- Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a bidder's proposal and/or to determine a bidder's compliance with the requirements of the solicitation.

5.5 Debriefing

Once an award has been made, a Bidder may request a debriefing of their Bid. The debriefing will be limited solely to the Bidder's own Bid and will not include any discussion of other bids. A Bidder's request for a debriefing must be received by the Department no later than fifteen (15) business days after the date of the award notification to the successful Bidder or non-award announcement to the unsuccessful Bidder, depending upon whether the Bidder requesting the debriefing is the successful Bidder or an unsuccessful Bidder.

5.6 Protest Procedures

In the event an unsuccessful Bidder wishes to protest the award resulting from this RFP, the protesting Bidder must follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found in Chapter XI Section 17 of the OSC's Guide to Financial Operations, which is available on-line at: <http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>

5.7 Freedom of Information Law ("FOIL")

All Bids may be disclosed or used by the Department to the extent permitted by law. The Department may disclose a Bid to any person for the purpose of assisting in evaluating the Bid or for any other lawful purpose. All Bids will become State agency records, which will be available to the public in accordance with the New York State Freedom of Information Law. **Any portion of the Bid that a Bidder believes constitutes proprietary information entitled to confidential handling, as an exception to the Freedom of Information Law, must be clearly and specifically designated in the Bid as specified in Section 6.1.2. of this RFP.** If the Department agrees with the proprietary claim, the designated portion of the Bidder's Bid will be withheld from public disclosure. Blanket assertions of proprietary material will not be accepted, and failure to specifically designate proprietary material may be deemed a waiver of any right to confidential handling of such material.

5.8 Piggybacking

New York State Finance Law section 163(10)(e) (see also <https://ogs.ny.gov/procurement/piggybacking-using-other-existing-contracts-0>) allows the Commissioner of the NYS Office of General Services to consent to the use of the Contract entered into pursuant to this RFP by other New York State Agencies, and other authorized purchasers, subject to conditions and the Contractor's written consent.

5.9 Intellectual Property

Any work product created pursuant to this RFP and the Contract awarded hereunder and any subcontract shall become the sole and exclusive property of the New York State Department of Health, which shall have all rights of ownership and authorship in such work product.

6 PROPOSAL CONTENT

The following includes the format and information to be provided by each Bidder. Bidders responding to this RFP must satisfy all requirements stated in this RFP. All Bidders are requested to submit complete Administrative and Technical Proposals, and are required to submit a complete Cost Proposal. A proposal that is incomplete in any material respect may be rejected.

To expedite review of the proposals, Bidders are requested to submit proposals in separate Administrative, Technical, and Cost packages inclusive of all materials as summarized in Attachment A, Proposal Documents. This separation of information will facilitate the review of the material requested. No information beyond that specifically requested is required, and Bidders are requested to keep their submissions to the shortest length consistent with making a complete presentation of qualifications. Evaluations of the Administrative, Technical, and Cost Proposals received in response to this RFP will be conducted separately. Bidders are therefore cautioned not to include any Cost Proposal information in the Technical Proposal documents.

DOH will not be responsible for expenses incurred in preparing and submitting the Administrative, Technical, or Cost Proposals.

6.1 Administrative Proposal

The Administrative Proposal should contain all items listed below. An Administrative Proposal that is incomplete in any material respect may be eliminated from consideration. The information requested should be provided in the prescribed format. Responses that do not follow the prescribed format may be eliminated from consideration. All responses to the RFP may be subject to verification for accuracy. Please provide the forms in the same order in which they are requested.

6.1.1 Bidder's Disclosure of Prior Non-Responsibility Determinations

Submit a completed and signed [Attachment 1](#), "Prior Non-Responsibility Determinations."

6.1.2 Freedom of Information Law – Proposal Redactions

Bidders must clearly and specifically identify any portion of their proposal that a Bidder believes constitutes proprietary information entitled to confidential handling as an exception to the Freedom of Information Law. See [Section 5.7](#), (Freedom of Information Law)

6.1.3 Vendor Responsibility Questionnaire

Complete, certify, and file a New York State Vendor Responsibility Questionnaire. DOH recommends that bidders file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions at <http://www.osc.state.ny.us/vendrep/index.htm> or go directly to the VendRep System online at www.osc.state.ny.us/vendrep.

Bidders must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the OSC Help Desk at 866-370-4672 or 518-408-4672 or by email at ciohelpdesk@osc.state.ny.us.

Bidders opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website, www.osc.state.ny.us/vendrep, or may contact the Office of the State Comptroller's Help Desk for a copy of the paper form. Bidders should complete and submit the Vendor Responsibility Attestation, [Attachment 3](#).

6.1.4 Vendor Assurance of No Conflict of Interest or Detrimental Effect

Submit [Attachment 4](#), Vendor Assurance of No Conflict of Interest or Detrimental Effect, which includes information regarding the Bidder, members, shareholders, parents, affiliates or subcontractors. [Attachment 4](#) must be signed by an individual authorized to bind the Bidder contractually.

6.1.5 M/WBE Forms

Submit completed Form #1 and/or Form #2, Form #4 and Form #5 as directed in [Attachment 5](#), "Guide to New York State DOH M/WBE RFP Required Forms."

6.1.6 Encouraging Use of New York Businesses in Contract Performance

Submit [Attachment 6](#), "Encouraging Use of New York State Businesses in Contract Performance" to indicate the New York Businesses you will use in the performance of the Contract.

6.1.7 Bidder's Certified Statements

Complete, sign and submit [Attachment 7](#), "Bidder's Certified Statements", which includes information regarding the Bidder. [Attachment 7](#) must be signed by an individual authorized to bind the Bidder contractually. Please indicate the title or position that the signer holds with the Bidder.

6.1.8 References

Provide references using [Attachment 9](#), (References) for three business references, at least two should be current clients running an IIS. These references should describe the Bidder's experience in the past five years in the areas for which services are being offered. Provide firm names, addresses, contact names, telephone numbers, and email addresses.

6.1.9 Diversity Practices Questionnaire

The Department has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practices of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement should include as part of their response to this procurement, [Attachment 10](#) "Diversity Practices Questionnaire". Responses will be formally evaluated and scored.

6.1.10 Executive Order 177 Prohibiting Contracts with Entities that Support Discrimination

Bidder should complete and submit [Attachment 11](#) certifying that it does not have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, creed, color, national origin, sex, sexual orientation, gender identity, disability, marital status, military status, or other protected status under the Human Rights Law.

6.1.11 Executive Order 16 Prohibiting Contracting with Businesses Conducting Business in Russia

Bidder should complete and submit [Attachment 12](#) certifying the status of their business operations in Russia, if any, pursuant to Executive Order 16.

6.1.12 State Finance Law Consultant Disclosure Provisions

In accordance with New York State Finance Law Section 163(4)(g), State agencies must require all Contractors, including subcontractors, that provide consulting services for State purposes pursuant to a contract to submit an annual employment report for each such contract.

The successful bidder for procurements involving consultant services must complete a "State Consultant Services Form A, Contractor's Planned Employment From Contract Start Date through End of Contract Term" in order to be eligible for a contract.

The successful bidder must also agree to complete a "State Consultant Services Form B, Contractor's Annual Employment Report" for each state fiscal year included in the resulting contract. This report must be submitted annually to the Department, the Office of the State Comptroller, and Department of Civil Service.

Submit State Consultant Services Form A: Contractor's Planned Employment and Form B: Contractor's Annual Employment Report, available at: <http://www.osc.state.ny.us/agencies/forms/ac3271s.doc> and <http://www.osc.state.ny.us/agencies/forms/ac3272s.doc>.

6.1.13 Sales and Compensating Use Tax Certification (Tax Law, § 5-a)

Section 5-a of the Tax Law, as amended, effective April 26, 2006, requires certain Contractors awarded state contracts for commodities, services and technology valued at more than \$100,000 to certify to the Department of Tax and Finance (DTF) that they are registered to collect New York State and local sales and compensating use taxes. The law applies to contracts where the total amount of such contractor's sales delivered into New York State are in excess of \$300,000 for the four quarterly periods immediately preceding the quarterly period in which the certification is made, and with respect to any affiliates and subcontractors whose sales delivered into New York State exceeded \$300,000 for the four quarterly periods immediately preceding the quarterly period in which the certification is made.

This law imposes upon certain contractors the obligation to certify whether or not the contractor, its affiliates, and its subcontractors are required to register to collect state sales and compensating use tax and contractors must certify to DTF that each affiliate and subcontractor exceeding such sales threshold is registered with DTF to collect New York State and local sales and compensating use taxes. The law prohibits the State Comptroller, or other approving agencies, from approving a contract awarded to an offeror meeting the registration requirements but who is not so registered in accordance with the law.

The successful Bidder must file a properly completed Form ST-220-CA with the Department and Form ST-220-TD with the DTF. These requirements must be met before a contract may take effect. Further information can be found at the New York State Department of Taxation and Finance's website, available through this link: <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Submit these Forms, available through these links:

- ST-220 CA: http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf
- ST-220 TD: http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf

6.2 Technical Proposal

The purpose of the Technical Proposal is to demonstrate the qualifications, competence, and capacity of the Bidder to perform the services contained in this RFP. The Technical Proposal should demonstrate the qualifications of the Bidder and the staff to be assigned to provide services related to the services included in this RFP.

A Technical Proposal that is incomplete in any material respect may be eliminated from consideration. The following outlines the information requested to be provided by Bidders. The information requested should be

provided in the prescribed format. Responses that do not follow the prescribed format may be eliminated from consideration. All responses to the RFP may be subject to verification for accuracy.

While additional data may be presented, the following should be included. Please provide the information in the same order in which it is requested. Your proposal should contain sufficient information to assure DOH of its accuracy. Failure to follow these instructions may result in disqualification.

Pricing information contained in the Cost Proposal cannot be included in the Technical Proposal documents.

6.2.1 Title Page

Submit a Title Page providing the RFP subject and number; the Bidder's name and address, the name, address, telephone number, and email address of the Bidder's contact person; and the date of the Proposal.

6.2.2 Table of Contents

The Table of Contents should clearly identify all material (by section and page number) included in the Bidder's proposal.

6.2.3 Documentation of Bidder's Eligibility Responsive to Section 3.0 of RFP

Bidders must be able to meet all the requirements stated in Section 3.0 of the RFP. The bidder must submit documentation that provides sufficient evidence of meeting the criterion/criteria set forth in Section 3.0. This documentation may be in any format needed to demonstrate how the Bidder meets the minimum qualifications to propose.

- Five years general Immunization Information System (IIS) experience. This may include development and/or support of an operational system and
- Experience migrating at least one system to a cloud-based platform
- Experience supporting at least one system in a cloud-based platform

6.2.4 Technical Proposal Narrative

The Technical Proposal should provide satisfactory evidence of the Bidder's ability to meet, and expressly respond to, each element listed below.

Elements of the Technical Proposal are as follows:

6.2.4.1 Experience – Performing Tasks/ Deliverables

The Bidder should describe their organizational structure, business mission, headquarters, and branch office locations, parent and subsidiary organizations, and the relationships between Bidder's organization and any parent or subsidiary. The Bidder should include the number of years the organization has been in business.

The Bidder should:

- Describe your planned approach to assess the current environment
- Describe your proposed plan to transition system support from the current system
- Describe your approach to meeting the operations and maintenance support detailed in 4.1.2
- Describe your qualifications, experience, competence, capacity and approach to provide requested system modifications, as outlined RFP Section 4.1.3, including but not limited to the ability to comply

with an established change-management process and support the planning, development, testing and deployment of system modifications.

- Describe the Bidder's qualifications, experience, competence, and capacity to provide Help Desk (HD) services to support users experiencing issues with certifying or issuing benefits for participants
- Describe the Bidder's qualifications, experience, competence, and capacity to collaborate with NYS ITS on all information technology architecture requirements needed to maintain the functionality.
- Describe the Bidder's qualifications, experience, competence, and capacity to comply with all NYS security policies and standards as defined in the New York State ITS security policies and standards (<http://its.ny.gov/eiso/policies/security>), and for your organization, employees, subcontractors and volunteers to implement and maintain policies and an internal control process for oversight and monitoring, and procedures to assure the confidentiality of personal identifiable data and protected health information
- Describe the Bidder's qualifications, experience, competence, and capacity to meet the transition requirements described in RFP Section 4.13 to transition current contract activities performed by the Contractor to the Department, another Department agent or successor Contractor during or at the end of the contract. This includes a complete and total transfer of all data, files, reports, and records generated from the inception of the contract through the end of the contract.
- Bidders should submit information from past projects that demonstrate the bidding entity has the organizational experience and capacity to provide the services requested in the RFP. Project descriptions should include the client name, description of services provided and a description of the project components that are similar to the services outlined in the RFP.

6.2.4.1 Staffing and Qualifications

The bidder should provide a staffing plan for completion of services that includes the following for each:

- Propose sufficient staffing levels to appropriately perform the activities and tasks described in this RFP.
- Resumes for Minimum Technical staff positions for maintenance of NYSIIS (Section 4.2)
- How the bidder plans to recruit and train an adequate number of staff;
- Bidder's ability to provide qualified staff to carry out the projected workload during the contract and how they plan to provide staff to meet the scope of work over the entire contract period;
- Bidder's ability to provide sufficient additional management and administrative support staff necessary to organize, prepare and carry out all administrative tasks associated with conducting the services;
- Bidder's process for ensuring all Contractor and subcontractor staff are appropriately trained and how the training protocols provide for consistency among audit staff and the analysis of findings;
- How the Bidder intends to maintain the staffing levels and personnel planned;
- An organizational chart that delineates the titles of the staff responsible for fulfilling the tasks/deliverable detailed in Section 4.0 Scope of Work, their lines of communications, and demonstrates how the Bidder intends to organize staff and management for this project;

6.2.4.3 Proposed Approach - Tasks and Deliverables (see Scope of Work Section 4.1)

Describe an approach and understanding of the deliverables as outlined in the RFP; addressing, in order, all subsections under Scope of Work 4.1. Label each subsection by its corresponding letter/number in the scope of work.

Clearly describe in detail your approach to supporting the system security and privacy requirements listed in the RFP; 4.6.

Include examples of all document deliverables:

- Weekly and Monthly Statistic Reports
- Weekly Status Reports
- Draft Operational Incident Report (OIR)
- Change/Enhancement Request Form
- Change/Enhancement Request Log
- Help Desk Report

Describe the techniques and steps that will be applied while accomplishing all tasks of this RFP and outline the proposed methodology for guiding performance of the technical requirements identified in the RFP. Finally the Technical Proposal should present a logical sequence of tasks that will be performed

6.3 Cost Proposal

Submit a completed and signed [Attachment B – Cost Proposal](#). The Cost Proposal shall comply with the format and content requirements as detailed in this RFP and in Attachment B. Failure to comply with the format and content requirements may result in disqualification.

The bid price is to cover the cost of furnishing all of the product(s)/ services sought to be procured, including but not limited to travel, materials, equipment, overhead, profit and labor to the satisfaction of the Department ^ and the performance of all work set forth in said specifications.

7 PROPOSAL SUBMISSION

A proposal consists of three distinct parts: (1) the Administrative Proposal, (2) the Technical Proposal, and (3) the Cost Proposal. The table below outlines the requested format and volume for submission of each part. Proposals should be submitted as prescribed below.

Submit **three (3), open and permission password protected**, PDF proposals in three (3) separate emails to: BidderforNYSIIS@health.ny.gov with the subject “NYSIIS Maintenance and Support, Bidder name, RFP # 20335”.

Include, as attachment to each email, the distinct PDF file labeled “Administrative Proposal”, “Technical Proposal”, or “Cost Proposal”. Example: “Technical Proposal Submission, ABC Company, RFP #XXXX”. All electronic proposal submissions should be clear and include page numbers on the bottom of each page. The body of the email submitted should also include the password and indicate the number of total pages intended, and where indicated each subset of pages listed. Example: Technical proposal 30 pages total, Attachment C, 17 pages. A font size of eleven (11) points or larger should be used with appropriate header and footer information. In the event an electronic submission cannot be read by the Department, the Department reserves the right to request a hard copy and/or electronic resubmission of any unreadable files. Offeror shall have two (2) business days to respond to such requests and must certify the resubmission is identical to the original submission

- Where signatures are required, the proposals designated as originals should have a handwritten signature and be signed in **blue** ink;
- The NYSDOH discourages overly lengthy proposals. Therefore, marketing brochures, user manuals or other materials, beyond that sufficient to present a complete and effective proposal, are not desired. Elaborate artwork or expensive paper is not necessary or desired. In order for the NYSDOH to evaluate proposals fairly and completely, proposals should follow the format described in this RFP to provide all requested information;
- The Bidder should not repeat information in more than one section of the proposal. If information in one section of the proposal is relevant to a discussion in another section, the Bidder should make specific reference to the other section rather than repeating the information;
- Audio and/or videotapes are not allowed. Any submitted audio or videotapes will be ignored by the evaluation team; and

- **The entire proposal must be received by the NYSDOH in three (3) separate emails to the email account and format designated above, no later than the Deadline for Submission of Proposals specified in Section 1.0, (Calendar of Events). Late bids will not be considered.**

7.1 No Bid Form

Bidders choosing not to bid are requested to complete the No-Bid form, [Attachment 2](#). Although not mandatory, such information helps the Department direct solicitations to the correct bidding community.

8 METHOD OF AWARD

8.1 General Information

DOH will evaluate each proposal based on the “Best Value” concept. This means that the proposal that best “optimizes quality, cost, and efficiency among responsive and responsible offers” shall be selected for award (State Finance Law, Article 11, §163(1)(j)).

DOH, at its sole discretion, will determine which proposal(s) best satisfies its requirements. DOH reserves all rights with respect to the award. All proposals deemed to be responsive to the requirements of this procurement will be evaluated and scored for technical qualities and cost. Proposals failing to meet the requirements of this RFP may be eliminated from consideration. The evaluation process will include separate technical and cost evaluations, and the result of each evaluation shall remain confidential until evaluations have been completed and a selection of the winning proposal is made.

The evaluation process will be conducted in a comprehensive and impartial manner, as set forth herein, by an Evaluation Committee. The Technical Proposal and compliance with other RFP requirements (other than the Cost Proposal) will be weighted **70%** of a proposal’s total score and the information contained in the Cost Proposal will be weighted **30%** of a proposal’s total score.

Bidders may be requested by DOH to clarify the contents of their proposals. Other than to provide such information as may be requested by DOH, no Bidder will be allowed to alter its proposal or add information after the Deadline for Submission of Proposals listed in [Section 1.0](#) (Calendar of Events).

In the event of a tie, the determining factors for award, in descending order, will be:

- (1) lowest cost and
- (2) proposed percentage of M/WBE participation.

8.2 Submission Review

DOH will examine all proposals that are received in a proper and timely manner to determine if they meet the proposal submission requirements, as described in [Section 6.0](#) (Proposal Content) and [Section 7.0](#) (Proposal Submission), including documentation requested for the Administrative Proposal, as stated in this RFP. Proposals that are materially deficient in meeting the submission requirements or have omitted material documents, in the sole opinion of DOH, may be rejected.

8.3 Technical Evaluation

The evaluation process will be conducted in a comprehensive and impartial manner. A Technical Evaluation Committee comprised of Program Staff of DOH will review and evaluate all proposals.

Proposals will undergo a preliminary evaluation to verify Minimum Qualifications to Propose (Section 3.0).

The Technical Evaluation Committee members will independently score each Technical Proposal that meets the submission requirements of this RFP. The individual Committee Member scores will be averaged to calculate the Technical Score for each responsive Bidder.

The Technical Proposal evaluation is **70% (up to 70 points)** of the final score.

8.4 Cost Evaluation

The Cost Evaluation Committee will examine the Cost Proposal documents. The Cost Proposals will be opened and reviewed for responsiveness to cost requirements. If a cost proposal is found to be non-responsive, that proposal may not receive a cost score and may be eliminated from consideration.

The Cost Proposals will be scored based on a maximum cost score of 30 points. The maximum cost score will be allocated to the Cost Proposal with the lowest all-inclusive not-to-exceed maximum price. All other responsive proposals will receive a proportionate score based on the relation of their Cost Proposal to the Cost Proposal(s) offered at the lowest final cost, using this formula:

$$C = (A/B) * 30\%$$

A is Total price of lowest Cost Proposal;

B is Total price of Cost Proposal being scored; and

C is the Cost score.

The Cost Proposal evaluation is **30% (up to 30 points)** of the final score.

8.5 Composite Score

A composite score will be calculated by the DOH by adding the Technical Proposal points and the Cost Proposal points awarded. Finalists will be determined based on composite scores.

8.6 Reference Checks

The Bidder should submit references using [Attachment 9](#) (References). At the discretion of the Evaluation Committee, references may be checked at any point during the process to verify Bidder's qualifications to propose (Section 3.0).

8.7 Best and Final Offers

NYSDOH reserves the right to request best and final offers. In the event NYSDOH exercises this right, all Bidders that submitted a proposal that are susceptible to award will be asked to provide a best and final offer. Bidders will be informed that should they choose not to submit a best and final offer, the offer submitted with their proposal will be construed as their best and final offer.

8.8 Award Recommendation

The Evaluation Committee will submit a recommendation for award to the Bidder(s) with the highest composite score(s) whose experience and qualifications have been verified.

The Department will notify the awarded Bidder(s) and Bidders not awarded. The awarded Bidder(s) will enter into a Contract substantially in accordance with the terms of Attachment 8, DOH Agreement, to provide the required product(s) or services as specified in this RFP. The resultant Contract shall not be binding until fully executed and approved by the New York State Office of the Attorney General and the Office of the State Comptroller.

9 ATTACHMENTS

The following attachments are included in this RFP and are available via hyperlink or can be found at: <https://www.health.ny.gov/funding/forms/>.

- 1 [Bidder's Disclosure of Prior Non-Responsibility Determinations](#)
- 2 [No-Bid Form](#)
- 3 [Vendor Responsibility Attestation](#)
- 4 [Vendor Assurance of No Conflict of Interest or Detrimental Effect](#)
- 5 [Guide to New York State DOH M/WBE Required Forms & Forms](#)
- 6 [Encouraging Use of New York Businesses in Contract Performance](#)
- 7 [Bidder's Certified Statements](#)
- 8 [DOH Agreement](#) (Standard Contract)
- 9 [References](#)
- 10 [Diversity Practices Questionnaire](#)
- 11 [Executive Order 177 Prohibiting Contracts with Entities that Support Discrimination](#)
- 12 [Executive Order 16 Prohibiting Contracting with Business Conducting Business in Russia](#)

The following attachments are attached and included in this RFP:

- Attachment A Proposal Document Checklist
- Attachment B Cost Proposal
- Attachment C Wisconsin Immunization Registry License Agreement
- Attachment D Department of Health (DOH) New York State Immunization Information System (NYSIIS) Information System Contingency Plan (ISCP)
- Attachment X NYSIIS Roles and Responsibilities Matrix

**ATTACHMENT A
PROPOSAL DOCUMENT CHECKLIST**

Please reference Section 7.0 for the appropriate format and quantities for each proposal submission.

RFP 20335– Maintenance and Enhancement of the Web-Based New York State Immunization Information System		
FOR THE ADMINISTRATIVE PROPOSAL		
RFP §	SUBMISSION	INCLUDED
§ 6.1.1	Attachment 1 - Bidder's Disclosure of Prior Non-Responsibility Determinations	<input type="checkbox"/>
§ 6.1.2	Freedom of Information Law – Proposal Redactions (If Applicable)	<input type="checkbox"/>
§ 6.1.3	Attachment 3 - Vendor Responsibility Attestation	<input type="checkbox"/>
§ 6.1.4	Attachment 4 - Vendor Assurance of No Conflict of Interest or Detrimental Effect	<input type="checkbox"/>
§ 6.1.5	M/WBE Participation Requirements:	
	Attachment 5 - Form 1	<input type="checkbox"/>
	Attachment 5 - Form 2 (If Applicable)	<input type="checkbox"/>
	Attachment 5 - Form 4	<input type="checkbox"/>
	Attachment 5 - Form 5 (If Applicable)	<input type="checkbox"/>
§ 6.1.6	Attachment 6 - Encouraging Use of New York Businesses	<input type="checkbox"/>
§ 6.1.7	Attachment 7 - Bidder's Certified Statements	<input type="checkbox"/>
§ 6.1.8	Attachment 9 – References	<input type="checkbox"/>
§ 6.1.9	Attachment 10 - Diversity Practices Questionnaire	<input type="checkbox"/>
§ 6.1.10	Attachment 11 - EO 177 Prohibiting Contracts with Entities that Support Discrimination	<input type="checkbox"/>
§ 6.1.11	Attachment 12 – EO 16 Contracting with Businesses Conducting Business in Russia	<input type="checkbox"/>
§ 6.1.12	State Finance Law Consultant Disclosure	<input type="checkbox"/>
§ 6.1.13	Sales and Use Tax Certification	<input type="checkbox"/>
FOR THE TECHNICAL PROPOSAL		
RFP §	SUBMISSION	INCLUDED
§ 6.2.1	Title Page	<input type="checkbox"/>
§ 6.2.2	Table of Contents	<input type="checkbox"/>
§ 6.2.3	Documentation of Bidder's Eligibility (Requirement)	<input type="checkbox"/>
§ 6.2.4	Technical Proposal Narrative	<input type="checkbox"/>
FOR THE COST PROPOSAL REQUIREMENT		
RFP §	REQUIREMENT	INCLUDED
§ 6.3	Attachment B- Cost Proposal	<input type="checkbox"/>

**ATTACHMENT B
COST PROPOSAL
RFP #20335**

Maintenance and Enhancement of the New York State Immunization Information System

Bidder Full Corporate Name: _____

Corporate Address: _____

Company Phone: _____ Company Fax: _____

The NYSDOH seeks a cost-effective bid. Bidders must enter their Deliverable Pricing and Hourly Rates on the form below. Deliverable Pricing and Hourly Rates bid must reflect all costs, including those associated with personnel, fringe, indirect costs, travel, materials, and miscellaneous expenses.

Bidders must bid a single Deliverable Price for each One-Time Deliverable, a single Annual Deliverable Price for each Service Based Deliverable and Single Hourly rate, no ranges, for Change Request/System Enhancement Efforts for Years 1 - 3; a Single Deliverable Price or Hourly Rate for Years 5 - 6 and a Single Deliverable Price or Hourly Rate for Year 6 - 7.

Refer to the RFP (Section 4.0) for detailed information regarding services and deliverables.

Use the tables on the following pages to detail the cost proposal. Complete each table section as appropriate for the year or deliverable in reference.

One-Time Deliverables	Deliverable Price
Transitional and Operational Responsibility (Section 4.1.1)	
1. Phase I. Assessment of Current Environment	
2. Phase II, System Support Transition, including approval of Service Level Agreement	
3. Phase III: Finalization of full system support	
4. Phase IV: Transition of Ownership	

Service Based Deliverables*	Annual Deliverable Price for Years 1 - 3	Annual Deliverable Price for Years 5 - 6	Annual Deliverable Price for Years 6 - 7**
NYSIIS Operation and Maintenance Support			
1. See RFP Section 4.1.2; includes normal system availability, performance, data interfaces, problem response, and collecting monthly system statistics, and maintenance staffing pursuant to RFP section 4.2			
NYSIIS Change Management & Enhancement Support			
1. See RFP Section 4.1.3; Plan, form, and tracking system changes and ongoing development.			
NYSIIS Help Desk and User Support			
1. See RFP Section 4.1.4; Help Desk Support & Staffing; this includes user support with videos			
NYSIIS Blood Lead Maintenance Support			
1. See RFP Section 4.1.5; this includes Blood Lead Staffing and normal system support.			

Change Request/System Enhancement Effort (See Section 4.1.3)

Anticipated Number of Positions	Position Titles	Estimated Annual Hours	Hourly Rate For Years 1 - 3	Hourly Rate For Years 4 - 5	Hourly Rate For Years 6-7
1	Project Manager	1,040			
1	Business Analyst	1,590			
1	System Engineer	1,590			
1	Database Administrator	344			

* Note: Year 1 Service Based Deliverable cannot begin until Phase III of the One-time Deliverables is completed.

** Note: Year 6 & 7 are contingent upon the contract being extended.

NYSDOH reserves the right to adjust the mix and duration of the type of staff secured dependent upon the needs of the program throughout the project lifecycle and the life of the contract.

ATTACHMENT C

Wisconsin Immunization Registry (WIR)

LIMITED LICENSE AGREEMENT

This limited license (“License”) is hereby granted by the State of Wisconsin, Department of Health and Family Services, Division of Public Health, Immunization Program (“Licensor”) to the New York State Department of Health and Human Services (“Licensee”).

WHEREAS, Licensor operates and owns the Wisconsin Immunization Registry (“WIR”) computer program; and,

WHEREAS, through this License, Licensor is authorized to allow Licensee access to a copy of the WIR software to modify for support of the New York State Immunization program; and,

WHEREAS, Licensee desires to obtain access to a copy of the WIR software subject to the terms of this limited License:

NOW THEREFORE, Licensee agrees as follows:

1. Definitions

- 1.1 “Documentation” means the user, system and installation documentation for the Software.
- 1.2 “License” means the license granted by Licensor to Licensee to use the Licensed Material in accordance with the terms and conditions of this agreement.
- 1.3 “Licensed Materials” means the Software, Documentation and related information, collectively, that comprises the WIR.
- 1.4 “Software” means the WIR computer program in source and object code form delivered to Licensee.

2. License

- 2.1 Licensor grants Licensee a perpetual, royalty-free, limited, non-exclusive, non-transferable, non-assignable License to use, modify and create derivative works from the current version of the Licensed Materials, subject to the restrictions of this Agreement. The License commences on the date of delivery of the Licensed Materials by the Licensor to the Licensee.
- 2.2 The License granted herein includes the right to copy the Licensed Materials in whole or in part as necessary for Licensee’s use to support its immunization program.
- 2.3 The Licensed Materials may only be deployed on equipment used by Licensee to support its immunization program.

3. Proprietary Rights

- 3.1 Licensee acknowledges and agrees that the intellectual property rights in the Licensed Materials are and shall remain the property of Licensor, and nothing in this agreement should be construed as transferring any aspects of such rights to Licensee or any third party.
- 3.2 Licensee agrees to credit and acknowledge Licensor for the design and development of the **WIR** and the issuance of this License to Licensee. Accreditation of Licensor will be contained in all publications pertaining to Licensee’s use of the Licensed Materials.

- 3.3 Except as provided herein, the Software will be and remain the sole property of Licensor, and Licensee shall have no rights or interest therein, except as described in this Agreement.
- 3.4 Modifications made to, and derivative works created from, the Software by the Licensee or its authorized contractor or designated entity shall be the exclusive property of the Licensee, and the Licensor shall have no right, title, claim or interest whatsoever in such modifications and derivative works.
- 3.5 Licensor acknowledges that Licensee intends to apply for federal funds in connection with modifications to the Software, and that one condition of the funding may be to grant the United States a license to the modifications.

4. Restrictions

- 4.1 Licensee specifically agrees to take all reasonable steps to prevent access to, use of, copying of, or disclosure of the Licensed Materials beyond the level of access and use which is strictly necessary for the purposes allowed in this License.
- 4.2 Except to the extent required by the public records laws of Licensee's State, the Licensed Materials shall not be displayed or viewed by persons other than Licensee's employees or agents, except as may be required in support of the Licensee's immunization program or as otherwise required by law. Licensee agrees not to disclose any Licensed Materials to any unauthorized third parties.
- 4.3 The Licensed Materials shall not be operated, maintained, or stored in any software/hardware environment in such a manner as to permit unauthorized access to or copying of the Licensed Materials.
- 4.4 Licensee shall inform its employees and agents who have access to or use of the Licensed Materials of the obligations set forth in this agreement and shall ensure that its employees and agents comply with the terms of this License.

5. Modifications

- 5.1 Licensee may modify, create derivative works from and enhance the Licensed Materials as necessary to meet the specific immunization registry policy and program requirements within its state. Licensee shall notify Licensor of all modifications, derivative works and enhancements upon release of said modifications. Upon Licensor's request, Licensee shall grant the Licensor a perpetual, royalty-free, limited non-exclusive, non-transferable, non-assignable License to use and modify the modifications, enhancements or derivative works and provide Licensor with written documentation and code, with no payment to Licensee from Licensor.
- 5.2 Licensor and Licensee share a common interest and mission to prevent vaccine preventable disease and increase immunization coverage levels. Licensee agrees to work with Licensor to identify common interest items and the possibility of sharing in the cost of development of said items. The WIR Project Manager will be Licensor's point of contact for discussions on any such joint ventures.

6. Warranty

- 6.1 Licensor warrants that the Software will conform, as to all substantial operational features, to Licensor's current published specifications when installed.
- 6.2 THE ABOVE IS A LIMITED WARRANTY AND IT IS THE ONLY WARRANTY MADE BY

LICENSOR. LICENSOR MAKES AND LICENSEE RECEIVES NO WARRANTY EXPRESS OR IMPLIED AND THERE ARE EXPRESSLY EXCLUDED ALL WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

7. License Action

- 7.1 Licensee agrees that violation in any material respect of any provision of this License may cause irreparable injuries to Licensor and Licensor shall be entitled to preliminary injunctive relief and other injunctive relief against any such violation. Such injunctive relief shall be in addition to, and in no way in limitation of, any and all remedies or rights to recover damages Licensor may have at law or in equity for the enforcement of this License. Licensor will have no responsibility for the actions of Licensee.
- 7.2 In any action under this License, the parties consent to jurisdiction in the courts in Dane County, Wisconsin and will be governed by and construed in accordance with Wisconsin law.

8. Term and Termination

- 8.1 This License shall remain in effect perpetually unless terminated.
- 8.2 Upon determination by the Licensor that the Licensee has violated or knowingly tolerated violations of material terms of this Agreement, the Licensor may give the Licensee notice of its determination and demand that the Licensee cease such violations. If the Licensee fails to cease the violations, the Licensor may terminate this Agreement, without prejudice to any other remedy Licensor may have and without further obligation to Licensee. Licensee may terminate this License at will.
- 8.3 Upon termination of the License in accordance with this Section, at the request of the Licensor, the Licensee shall return to the Licensor all copies of the Licensed Materials to Licensor's WIR Project Manager; provided, however, that the Licensee may continue to use the Licensed Materials for a reasonable period of time, not to exceed nine months, as required to allow it to install functionally equivalent replacement software for its immunization program. At the request of the Licensor, the Licensee shall delete all copies of such materials residing in on- or off-line computer memory.
- 8.4 The terms of this License that by their sense and context are intended to survive the termination of this License shall so survive.

9. Amendment

- 9.1 This agreement may be changed or amended only by written agreement of the Licensee and Licensor.



**Department of Health (DOH)
New York State Immunization Information System
(NYSIIS)
Information System Contingency Plan (ISCP)**

June 21, 2023



Attachment X

NYSIIS Roles and Responsibilities Matrix by Program-ITS-Vendor

Overview

- This matrix provides a listing of NYSIIS support tasks for OS, Oracle DBA, Network, Infrastructure, Project Management, Disaster Recovery (DR) Services, and Hosting environments. In the matrix, you will find current support tasks listed and the associated responsibility for each task. The column headings contain the names of support teams that provide support for the listed tasks.
- New York State Immunization Information System (NYSIIS) has multiple components and responsibilities for those components are spread among different entities. This document defines what organization is responsible for what component.
- Teams will work closely together to ensure that all tasks are being performed within acceptable security guidelines and SLA's.
- NOTE: This document may not list every single task each team performs to ensure NYSIIS support.

Legend

Code	Role Summary Description	Role Detail Description
R	Responsible for the process	Individuals who are responsible and accountable for the results of the decision. It is the job of these people to make the decision. They gather, analyze, and assess the data surrounding the decision. They are accountable for implementation and have an obligation to prevent the action if they do not agree. This role is required and only one Responsibility role is allowed for each task.
A	Approves or accepts the deliverables from the process	Individuals who approve or sanction. Those in the Approve role have the ability to accept or reject a recommendation or decision made by the Responsible role, and then to ensure that the people, time, and money are available for implementation.
S	Supports steps in the production of the deliverables	Individuals who are support or resource people. They may be subject matter experts who provide information about issues, which affect the quality of the decision. Acceptance of a decision requires the commitment of those in the Support role. Support roles may not prevent a decision, but they do have the right to challenge it.
C	Provides consultation for inputs, information or contributory deliverables	
I	Needs information about the status and content of the deliverables	Individuals who need to be informed. Those in this role have the least level of involvement in decision-making and are affected in a minor way. This role is required for affected groups who at least need to be informed so that energy and behavior can be focused. They may not block decisions, but they are free to ask questions for clarity and to express opinions.

Services Responsibilities List

Responsibility Description	ITS	Vendor	DOH Program
NYSIIS Database Support / Operations: UAT & TRN/Prod/DR			
Maintain health and patching of NYSIIS databases, including dataguard, in all environments	I	R	I/A
Support any database modification required as a result of NYSIIS customizations	I	R	I/A
Identify Issues and concerns related to Database	I	R	I/A
Monitor standby performance and ensure replication is occurring	I	R	I
Stops/Starts database replication when needed to limit database corruption	I	R	I
Configure and manage the Oracle listener process on each server	I	R	
Install database software and configure databases and components for new installations	I	R	I
NYSIIS Application Support / Operations: UAT/TRN/Prod			
Support operational maintenance of the application	S/C/I	R	I/A
Deploys new versions of the code for releases	I	R	I/A
Provide monthly stats on application performance		R	I
Provide Operational Incident Reports (OIR) for any unexpected outage that exceed 15 minutes	I	R	I
Provide priority on application enhancements/bug fixes/security outcomes	S/C/I	S/C/I	R
Open ITSM Incidents for NYSIIS	I	S/C/I	R
Direct and support work on blood lead module - screens/reports		S/C/I	R
Support and maintain NYSIIS connection to EHDl page		R	S/C/I
Update Architecture Diagrams as needed for NYSIIS Infrastructure	I/S	R	S/C/I
Notify all partners as appropriate of any scheduled or unscheduled disruption of service related to application or database related issues.	I	R	I/A

Responsibility Description	ITS	Vendor	DOH Program
Provide system checkouts after every release or change that could impact NYSIIS	I	R	S/I/A
NYSIIS Server Support/Operations: UAT&TRN/Prod			
Hardware installation unpacking, racking and power.	R	I	I
Support and maintenance of frame where NYSIIS servers reside	R	I	I
Monitor frame and server allocations and adjust as needed	R	I/C	I/A
Request Network connections and IP address assignments.	R	I	I
Premise network wiring and switch configurations	R	I	I
Operating System patching to OS.	R	I/S	I
Create, configure and manage logical disk volumes.	R	I/S	I
Trouble Shooting – Operating system, networking, connectivity, performance and system level software as requested	R	I/S	I
Create, configure, and monitor backup jobs	R	I/S	I
Restoration of NYSIIS Production/UAT environments in the event of disaster recovery	R	I/S	I
Facilitate the purchase or upgrade of hardware, software, operating system, and application license as necessary.	R	I/S	I
Inform of any scheduled or unscheduled disruption of service related to hardware or network changes that would impact NYSIIS server uptime	R	I/S	I/A
Maintain VPN connection and appropriate level of access for vendor approved staff to access servers	R	I/S	I
Set-up/support vendor staff for VPN	R	I/S	S/A
NYSIIS Server Support/Operations: DR Box			
Hardware installation unpacking, racking and power.	R	I	I
Request Network connections and IP address assignments.	R	I	I/S
Premise network wiring, switch configurations and IP address assignments.	R	I	I
Operating System patching	R	I/S	I

Responsibility Description	ITS	Vendor	DOH Program
Create, configure and manage logical disk volumes.	R	I/S	I
Trouble Shooting – Operating system and system level software only.	R	I/S	I
NYSIIS Server Support/Operations: DR Box Continued			
Create, configure, and monitor backup jobs	R	I/S	I
Facilitate the purchase or upgrade of hardware, software, operating system, and application license as necessary.	R	I/S	I
Inform of any scheduled or unscheduled disruption of service related to hardware or network changes that would impact connection to server/data guard service	R	I	I/A
Maintain VPN connection for vendor access to DR Box	R	I/S	I
Security Scanning			
Running code vulnerability scan prior to UAT	I	R	I/S
Requesting the UAT scans before each release	I/S	R	R
Security Scanning in UAT – run per state policy and prior to any new to release	R	I/S	I/A
Blood Lead			
Creation of a daily file to load from LeadWeb to load to NYSIIS			R
Import daily file into NYSIIS and receive outbound file from NYSIIS		S	R
Import of outbound file from NYSIIS to LeadWeb			R
Notification of any changes in LeadWeb that would affect NYSIIS import/export file		I	R
EHDI			
Maintaining network connection between EHDI page and NYSIIS	R	I	I
Maintaining/updating the EHDI Landing page	R	I	I
Link updates from NYSIIS to EHDI landing page	I	R	I/A/C
Identifying EHDI staff that can access the standby database and informing when to remove access			R

Responsibility Description	ITS	Vendor	DOH Program
Set up VPN accounts for EHDl staff	R		S/C/I
Setting up read access to standby database schemas and removing access when notified		R	I
Storing and backup of EHDl data	R		I
Inform of any scheduled or unscheduled disruption of service specific to EHDl Landing page	R	I	I
Health Commerce System			
Maintain connection from HCS Server to CNSE NYSIIS Servers	I/R	I	I/R
Notification to NYSIIS Staff/Partners if HCS will be out of service for any reason and subsequently notify NYSIIS/Partners when back up		I	I/R
Notification to HCS if NYSIIS will be out of service for any reason and subsequently notify HCS when back up	I/R	I	I/R
Notify NYSIIS and partners if there are any problems with the VPN connection from HCS to NYSIIS production servers.	I/R	I	I/R
SOAP/REST Webservices			
Provide accounts/credentials for approved NYSIIS partners			R
Testing and maintaining connection between Provider/UPHN		I	R
Notify NYSIIS of any scheduled or unscheduled disruption of service	I/R	I/R	I/R
Notify NYSIIS of any specific issue with data exchange partners/providers		I/R	I/R
Notify of any network/configuration changes that would impact NYSIIS connection	I/R	I/R	I/R
Maintaining documentation for REST connection between UPHN/NYSIIS		I	R
Notify NYSIIS of any changes to existing REST services and NYSIIS		I	R
Troubleshoot and support issues that arise in to connection and/or providers	I/C/R	I/C/R	I/C/R
Maintain NYC/UPHN Connection			R
Transform inbound NYC vitals into NYSIIS acceptable files			R
Placing transformed NYC files in directory that NYSIIS can access and submit			R

Other Tasks - Additional responsibilities that may require vendor support. Role detail TBD.			
Maintain operational support procedures			
Monitor and respond to system alerts and events			
Assist in hardware product reviews of system environment			
Participate, if required, in root cause analysis for problem isolation and resolution for hardware related problems			
Assist in coordinating install / de-install of hardware equipment due to technical refresh, growth and capacity balancing			
Provide analysis and report on system performance trends			
Recommend configuration changes to optimize utilization of assets.			
Identify the need and make recommendations for additional system capacity to validate performance levels are appropriate to achieve Service Level Objectives and Agreements (if in scope)			
Database connectivity support			
Plan and implement a database backup strategy.			
Create a backup script or use a backup utility or tool to perform database backups.			
Create the physical database (object DDL).			
Run object DDL to create objects.			
Monitor database performance.			
Monitor database space.			
Monitor database backups.			
Monitor database availability and resources.			
Monitor size of the physical database objects.			
Modify or suggest modifications for system parameters for performance tuning.			
Assist with data / database conversions.			
Create and maintain links to other databases.			
Unload and reload (reorganization of data) to improve performance, change physical layout, reclaim space etc.			

Ensure database compliance with Agency and ITS Security Standards.			
Manage job scheduler for database jobs (maintenance).			
Management and resolution of database problems.			
Management of database changes.			
Perform database maintenance (including running of appropriate utilities)			
Install middleware software			
Configure middleware			
Develop and maintain a plan that enables the recovery of data due to unplanned operational types of failures such as equipment malfunction, temporary power disturbances and abnormal termination (Disaster Recovery procedures)			
Configuration of parameters for recovery and failover, with assistance from Customer where applicable (such as application parameters)			
Testing of fail-over recovery after each system configuration update or change			
Plan and Maintain software currency on all platforms and systems			
Perform and review 'ready to use' initial performance tests and checkout for all components			
Install application code			
Configure application			
Application availability monitoring implementation			
Monitor job scheduler related incidents, and develop, recommend and implement changes to the job scheduler database			
Define and write procedures for code promotions/releases			
Document standards to promote applications from development and / or test into production			
Document production application acceptance criteria			
Move code from development and / or test environments to production			
Maintain automated code promotion system(s)			
Coordinate and/or perform installation and maintenance of in scope application			

Own and administer all application security resource definitions including specific user IDs and group IDs			
Conduct vulnerability scanning and apply associated remediation(s) actions to resolve issues			
Create System Security Plan			
Provide problem determination and resolution of application and related infrastructure problems			
Promote application load modules at exit points			
Maintain and update application restart documentation			
Provide the necessary requirements to the System Administration/Programming Team for the system/infrastructure and all application definitions that are to be backed up with the regular operating system/subsystem backups			
Provide off-shift support for test and development subsystems			
Provide performance and tuning analysis for the application			
Perform "health check" monitoring for the application			
Application capacity planning initiatives in the production environment			
Provide requirements and documentation for Disaster Recovery and Business Continuity. Maintain documentation for life of the application as applicable.			
Perform and support assistance for the testing of the changes made to the server operating system, system management software and operating system utilities/platform software and tools, including minor and major upgrades (such as a release upgrade) to maintain software currency.			
Perform and support assistance for the testing of the changes made to the physical hardware environment to accomplish HW upgrade and HW refresh) to ensure application functionality.			
Develop application run-books and production control procedures to allow ITS Operations to run operate and manage applications. Ex. Document application restart procedures. Templates will be provided by ITS			
Review and manage incidents and problems			
Provide trend analysis and develop action plans to resolve problems			
Coordination of problem resolution activities			
Facilitate and attend applicable incident & problem management meetings			
Establish the project implementation plan including: overall objectives, deliverables, major milestones, team structure, roles			

and responsibilities, major assumptions, customer responsibilities, project risks, project exclusions, etc.			
Provide application procedures and special requirements as needed to operationalize the application on ITS Platforms			
Set up application security access, user-id protocols and procedures for security administration.			

Other Tasks - Additional responsibilities that will be managed by ITS			
Install the in-scope server operating system, system management software and operating system utilities.			
Support of the in-scope server operating system, system management software and operating system utilities, including minor upgrades (such as a release upgrade)			
Manage the operating system configuration: Initial server configuration Modify configuration files Document system configuration Control access to system configuration files			
Manage operating system file systems: Create, maintain and delete volumes and directory structures Modify file system sizes Verify mount point availability Repair defective file systems Modify File-system permissions			
Monitor file systems to prevent file systems from overfilling			
Manage Operating System Processes (e.g. continuously running system subtasks, or daemons): Refresh processes as required Establish startup sequences Maintain system clock synchronization Change process priorities as appropriate			
Recommend operating system updates and configuration modification			
Apply operating system patch set updates			
Maintain tools for remote management and alert monitoring			
Maintain the hardware, Virtualization and OS software configuration server information			
Coordinate in-scope server hardware service with the appropriate vendor			
Manage ITS Operating System ID's			
Evaluate planned changes to the server environment and advise of any requirements to support such changes			

<p>Manage OS Security (Does not include customer User ID Admin) Enable passwords for servers to use to connect with other servers on the network</p> <p>Adhere to standard security processes and procedures</p> <p>Support trusted third party security servers authentication</p> <p>Synchronize security information among servers</p> <p>Create and modify system login/logon scripts Assign account, workgroup and print managers</p>			
<p>Provide health check and trending reports which include: CPU Memory Disk Server Red Action List (servers which have gone above defined set of thresholds)</p>			
<p>Monitor ITS managed hardware, virtualization & operating system software during in-scope service hours</p>			
<p>Administer and/or execute the contracted Service Management processes and procedures</p>			
<p>Perform basic problem determination on systems and components managed by ITS Services: Hardware problems System software problems Network problems</p>			
<p>Provide information and monitor for changes affecting the server environment</p>			
<p>Evaluate planned changes to the server environment and advise of any requirements to support such changes</p>			
<p>Perform System Recycles per predefined Short Term Operational Schedule and maintenance window</p>			
<p>Monitor and respond to hardware alerts and events</p>			
<p>Monitor and maintain system error logs</p>			
<p>Provide system administration and operational support for server environment(s)</p>			
<p>Assist with hardware facilities requirements planning</p>			
<p>Assist in coordinating hardware availability for scheduled maintenance, EC's, microcode updates and fixes for hardware products through use of the problem/change management process</p>			
<p>Participate in technical reviews, as required, for hardware configuration/environment issues</p>			
<p>Assess in raised-floor equipment power / cooling facility issues</p>			

Conduct system space planning			
Manage system hardware inventory			
Facilitate change for equipment			
Coordinate equipment install / moves and changes of third party hardware			
Manage the operating system configuration: Initial server configuration Modify configuration files Document system configuration Control access to system configuration files			
Maintain the hardware and software configuration server information			
Maintain tools for performance monitoring and reporting			
Define performance indicators and establish thresholds to monitor server performance against these indicators. Examples include utilization of Storage,, CPU and memory.			
Perform Capacity Management			
Maintain tools for capacity reporting			
Recommend corrective action to resolve system capacity problems.			
Implement corrective actions approved by the change management process.			
Monitor and document the in-scope servers' current capacity baselines and provide the information to the customer for the customer's use in determining future capacity requirements.			
Provide analysis and report on system capacity trends			
Plan and implement Fiber Channel Switches and Fiber Channel Directors in a Storage Area Network (SAN).			
Perform storage device preparation and initialization			
Manage storage space through the implementation and customization of storage management software.			
Manage space / utilization rate of storage hardware. Verify availability and sufficient capacity of ITS controlled file systems during scheduled service times.			
Report customer's disk space utilization via the activities listed in Performance and Capacity Management			

Execute backup and recovery procedures for the operating system image. Document and maintain the backup and restore processes, hardware and software			
Provide a recovery procedure for restoring the image to a previous level within a mutually agreed time frame			
Implement regularly scheduled backup and recovery procedures as prioritized by the customer (for example, file set restore), so as to avoid impacting scheduled operations			
Execute backup and recovery procedures for user data files. Document and maintain the backup and restore processes, hardware and software			
Perform catalog management, backup and recovery of data stored on storage devices			
Provide system administration and operational support for configurations			
Initial setup and ongoing maintenance of High Availability Configurations			
Reconfiguration of parameters when updates are performed to the system configuration			
Periodic testing of fail-over recovery (semi-annually)			
Perform server consolidation activities			
Server Datacenter moves or relocations			
Applications-monitor up/down status of system processes			
Plan and Perform physical hardware HW upgrade(s) and HW refresh to ensure systems application functionality.			
Order & schedule installation of network equipment required for application connectivity to ITS Data Center			
Assess, evaluate, document and review integration of network components managed by ITS			
Plan, develop and design document logical design and connectivity solution using Agency requirements. Perform setup, test and install the physical connectivity to solution customer requirements, including all labeling of components in the environment			
Assess, Plan, Design, Implement, Maintain, document and review network integration of bridges, gateways, routers, hubs, switches, multiplexers and wireless access points. Develop procedures for the environment we are supporting. Includes, bridges, gateways, routers, hubs, switches, multiplexers and wireless access points as required. Implement Firewall / VPN solution			
Assess, evaluate, document and review compliance to ITS standards, guidelines and processes			
Perform Level 1, 2,3 Network Problem Determination/Problem Source Identification (to determine & isolate sources of network outages and problems, inclusive of degraded performance			

Use Incident and Problem management data proactively to assist in the recognition and prevention of recurring problems			
Evaluate, assess and track all problems and changes for the network environment using ITS Incident toolset (Service-Now)			
Implement and maintain backup and archive of configuration data for standard network vendor product devices			
Post implementation, run and operate/maintain current customer network operational processes (Steady State)			
Manage and track network changes being performed (where applicable)			
Manage network backup and recovery processes			
Coordinate security of application resources			
Perform Application Security Risk Assessment			
Provide the necessary requirements to the System Administration/Programming Team for the system/infrastructure and all application definitions that are to be backed up with the regular operating system/subsystem backups			
Provide and support custom Business Integration exits			
Own and administer the incident and problem management processes and document			