

**NEW YORK STATE DEPARTMENT OF HEALTH VITAL RECORDS**

**RFP AMENDMENT 2**

**DATE OF AMENDMENT: NOVEMBER 21, 2008**

A Request for Proposal for:

Electronic Death Registration System, *and*

Independent Verification and Validation Services

RFP Number

0805130929

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## A Team Setup and Logistics

As a result of recent policy changes, and in response to vendor questions, NYS DOH is clarifying the requirements pertaining to the location of project team staff, access to NYS DOH network resources, and the location of and responsibility for configuration environments.

### A.1 Network Access and Location of Vendor Project Staff

To accommodate adherence to NYS DOH policies, NYS DOH has the following clarifying requirements.

The following requirements apply to both vendors (development *and* IVV):

1. *Except* as described in section [A.4 On-site Presence](#) of this Amendment, vendor project staff will *not* be required to work on-site at a NYS DOH location. Vendor project staff may be stationed at a location convenient for them. Requests to station project staff on NYS DOH premises will be rejected.
2. Each vendor is required to include in their project bids the cost to purchase computer workstations (laptops or desktops) for each of their team members that will be assigned to the project.

These workstations will be NYS DOH property, will serve as dedicated resources for the duration of the project, and will be returned to NYS DOH at the conclusion of the project.

These workstations must include Microsoft Office suite.

There is no requirement that workstations be of a particular brand or model, but all equipment must meet or exceed the specifications for one of the following categories as defined by the Office of General Services for the Microcomputer Aggregate Purchase Initiative:

- Business Class Desktop (Intel)
- Business Class Desktop (AMD)
- Workstation Class Desktop (Intel)
- Workstation Class Desktop (AMD)
- Business Class Notebook (Intel)
- Business Class Notebook (AMD)

Details are available at <http://www.ogs.state.ny.us/purchase/pcpurchase.htm>.

3. Vendors are required, upon contract execution, to purchase the computer workstations and coordinate with NYS DOH to configure them for NYS DOH network access.
4. For the duration of the project, all project staff will be required to use these workstations for all project-related work. Unless authorized by NYS DOH, vendors are restricted from conducting project-related work on any workstation not sanctioned by NYS DOH.
5. For the duration of the project, all project staff will use these workstations to connect to the NYS DOH network environment, which will include HCS access. All development, testing, verification and validation activities will take place in NYS DOH's network environment and on NYS DOH hardware.

## **A.2 Software Asset Management Licenses**

NYS DOH will provide server space to house the database of all IBM Rational tool project artifacts.

Vendors are still required to provide their own client licenses for all tools as specified in section C.1.2 Software Asset Management Requirements of the RFP. All software asset management products must be installed on the computer workstations purchased for this project.

The computer workstation and network access requirements specified in section [A.1 Network Access and Location of Vendor Project Staff](#) of this Amendment, combined with further clarification of software asset management products, will enable project communication and the sharing of project artifacts between vendors and NYS DOH.

## **A.3 Configuration of Solution Environments**

Given the clarified project team logistics, as described in this Amendment, NYS DOH has the following clarifying requirements for configured environments.

The development vendor is required to establish, configure, and maintain the following configuration environments:

- development
- testing
- training
- beta
- pilot/live (production)

These environments will be established within NYS DOH's IT (HCS) environment on server hardware supplied by NYS DOH.

**Note:** Do not include server hardware in your cost proposals. Only include the cost of computer workstations as described above.

## **A.4 On-site Presence**

NYS DOH has the following requirements pertaining to on-site presence of project staff.

1. NYS DOH requires the development and IVV vendor project managers, and the development vendor's business analyst to be present on-site for the duration of the first project iteration to facilitate and fully participate in project planning activities.
2. NYS DOH requires the development and IVV vendor project managers, and the development vendor's business analyst to be present on-site for at least two days per week throughout the project to facilitate project coordination and communication.
3. NYS DOH requires any project staff to be present on-site on an as-needed basis throughout the project. NYS DOH does not expect this to be extensive and may be limited to critical project milestones.
4. All travel costs associated with on-site requirements must be included in each vendor's proposal; NYS DOH will not separately reimburse for any travel related expenses associated with these on-site requirements.
5. NYS DOH will provide basic office arrangements for on-site staff (desk space, phone and fax, printers and copy machine).

## **B NYS DOH Standard IT Environment**

### **B.1 Technology Stack**

NYS DOH standard IT environment technologies are:

- Oracle 10g 10.2.0.4,
- BEA WebLogic Server 10.3
- BEA AquaLogic Service Bus 2.5
- IBM FileNet P8 *Server*, and
  - Application Engine (WorkplaceXT) XT1.1.2.0 - fixpack 3 (1.1.2.3)
  - FileNet Content Engine : 4.0.1 (SP1) fixpack 005 with PE client 4.0.3 and CSE Client 4.0.1 fixpack 003
  - FileNet PE 4.0.3 with client 4.0.1 fixpack 005
  - Content Search Engine - Autonomy K2 Verity CSE 4.0.1 (SP1) fixpack 003
  - CFS
- Java Enterprise Edition 5.

Vendors must exclude the cost of these product licenses from their proposals.

License or purchase costs for *all* other software or third party products or technologies that will be included in a proposed solution must be included in the total solution price. All such software must be identified as part of your technical proposal, per section D.1.2.3 Development Vendor Proposed Solution Technology Tab, item number 2.

Upgrades to the technology stack in project will be accommodated via change orders.

### **B.2 NYS DOH Technology Architecture**

**Note:** Vendors must not include the cost of server hardware in their proposals.

NYS DOH's applications are deployed in a three tier architecture, with Cisco PIX firewalls segregating the tiers.

The first tier is Authentication / Authorization employing a pair of Sun 8 core T2000 servers load balance / fail-over protected by Cisco CSS. On these servers operate the iPlanet proxy code which enforces ID/Password access policies. The current servers have sufficient capacity to accommodate the expected load increase for the EDR solution. Future plans will replace these with IBM "Data Power" XML firewall devices configured to apply the same access policies.

The second tier includes the Application Servers, which includes the two existing Sun 8 core T2000 servers hosting BEA's WebLogic Server Clusters (now Oracle Application Server 10g), AquaLogic Service Bus (now Oracle Enterprise Service Bus 10g), and WebLogic Portal (now Oracle Web Center 10g). The WebLogic Server platform supports the Department's JEE applications, though it is planned that this section will be expanded to accommodate growth from EDRS and other new applications. Additionally this second tier is where the Department's P8 File Net systems, based on IBM p570 Power6 servers, are deployed. As the P8 platform is a recent addition, this may be expanded from the initial 8-way p570 as well.

The third tier includes database services for FileNet and other applications, which are supported by a four (4) node Oracle 10g RAC implementation on IBM p570 Power 6 servers. Some Sybase

servers are there as well, primarily for existing applications. The Oracle platform is expected to have sufficient capacity for the applications as well as FileNet; this may be expanded to accommodate new initiatives.

FileNet P8 technology architecture is as follows:

- currently on operating system: AIX 5.3 ML8 on IBM P550
- Remote Oracle 10gR2 - 10.2.04
- Application server is BEA WebLogic 9.2.x with JDK 1.5.0.9
- Authentication is through internal LDAP with Sun Java Directory Server 5.2

### **B.3 System Performance**

NYS DOH has updated Section C.1.6.1 System Performance Requirements. Requirement number 2 has been updated and should now read:

The EDR solution must accommodate a peak user load of ~~4,000~~ 400 concurrent users, maintaining integrity of user session identification and database update record locking.

The hardware resource allocation on which system performance must be measured has been refined and should now read as follows.

#### **For J2EE solutions:**

100 % Java may use the equivalent of 1 Sun 5220 (8 core Niagra 2 with 64 Gig of RAM)

#### **For FileNet solutions:**

100% FileNet P8 may use the equivalent of 1 p570 (4 core Power 6 with 64 Gig of RAM)

#### **For Mixed J2EE/ FileNet solutions:**

Mixed solution would be expected to require fractions of the resources above.

#### **Database Performance:**

Database performance should be met using the equivalent of 1 node ( p570, 4 core Power 6 with 64 Gig of RAM ) in all cases.

## **C Data Extracts and Exchanges**

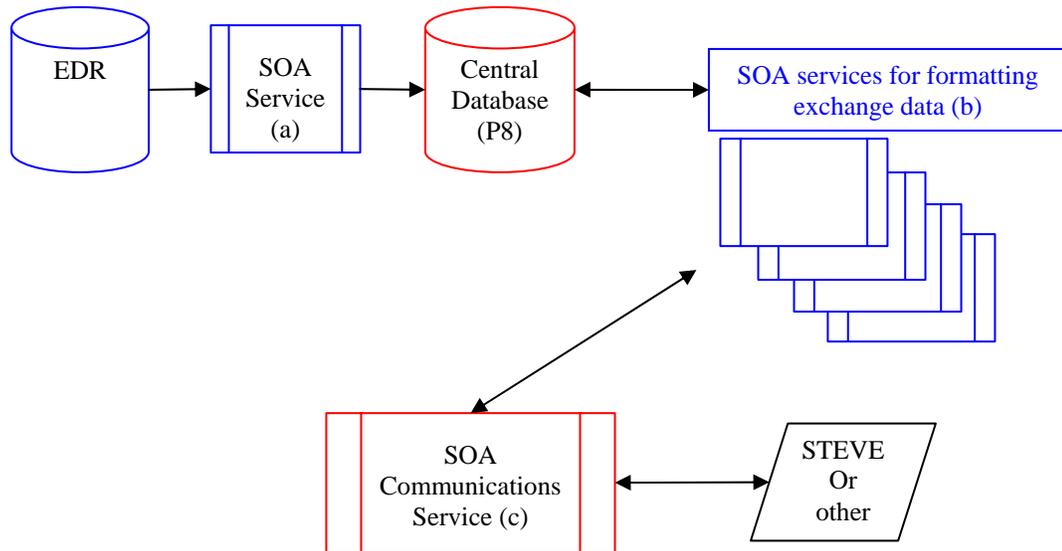
Due to change in circumstances, the requirements for data extracts and exchanges have been modified. These changes affect these sections of the RFP:

- C.1.13.7.5 EDR Data Export to NYS Master Death File
- C.1.13.8.1 General Data Exchange Architecture
- C.1.13.8.2 Social Security Administration Reporting
- C.1.13.8.3 National Center for Health Statistics Reporting
- C.1.13.8.4 U.S. States and Territories and Canada Exchanges
- C.1.13.8.5 New York City Exchange
- C.1.13.8.6 County Health Department Reporting

The following subsections of this amendment describe the updated requirements.

### C.1 Data Architecture

The data architecture that is employed by NYS DOH is as follows:



For the following exchanges, NYS DOH will use STEVE:

- Inter-jurisdictional exchanges, including New York City and Canada,
- Social Security Administration, and
- National Center for Health Statistics.

For exchanges with New York State county health departments, data exchange will take place as a file and/or report made available to the county health departments within the New York State health provider network.

### C.2 Data Export to NYS DOH Central Content Repository (Central Database)

Section C.1.13.7.5 EDR Data Export to NYS Master Death File can be replaced with the following, in its entirety.

NYS DOH is establishing a FileNet P8 central database which contains all NYS vital record data, including death certificate data. This repository will be the authoritative source of vital record data to support and fulfill all NYS DOH data-sharing obligations.

In order to meet the obligations for data sharing, NYS DOH has the following requirements:

1. The EDR solution must include a SOA messaging capability to notify and provide death record data in XML format to a service that will populate the central database with completed or updated death certificate data. This data sharing must occur in a real-time capacity.

**Note:** “Completed” in this context means records that have been signed and certified, and all data fields have been populated including SuperMICAR codes. SuperMICAR codes will be applied to the EDR solution records after validation with the SuperMICAR application. The service must not be notified of a death event prior to SuperMICAR coding.

**Note:** “Updated” in this context means records that have previously been registered and that have already been populated to the central database.

2. The development vendor is required to create a SOA service that will capture these SOA message events and data, and populate the central database. This service is identified in the above diagram as “SOA Service (a)” in blue.
3. The IVV vendor is required to include these requirements in their test planning activities.

### **C.3 Data Exchange Architecture Requirements**

The following data exchange requirements sections of the RFP can be replaced with this amendment:

- C.1.13.8.1 General Data Exchange Architecture
- C.1.13.8.2 Social Security Administration Reporting
- C.1.13.8.3 National Center for Health Statistics Reporting
- C.1.13.8.4 U.S. States and Territories and Canada Exchanges
- C.1.13.8.5 New York City Exchange
- C.1.13.8.6 County Health Department Reporting

In order to meet the obligations for data sharing, NYS DOH has the following requirements:

1. NYS DOH will create an application that identifies updated records in the central database, and provides record data to SOA services that will be used in data exchanges.
2. The development vendor is required to create bi-directional SOA services that will:
  - receive data from the central database, translate and format that data to meet the exchange specification for the intended recipient (e.g. SSA, NCHS, IJE, County Health Departments, NYS DOH Master Death File), and transmit that formatted data to the NYS DOH-provided SOA Communications Service or write the data to a specified location;
  - receive data from the NYS DOH-provided SOA Communications Service, translate and format that data to meet NYS DOH’s XML requirements, and populate the central database or perform other action as appropriate.

These services are identified in the above diagram as “SOA services for formatting exchange data (b)” in blue.

3. NYS DOH will also create a bi-directional SOA service that will communicate with STEVE for data exchanges and SOA services for death records. This service is identified in the above diagram as “SOA Communications Service (c)” in red.

This service will also communicate with other services or applications as necessary to meet the exchange and data export requirements (such as population of the Master Death File).

4. The IVV vendor is required to include these requirements in their test planning activities.

## D Reports

Section C.1.13.5 Reporting can be replaced with the following, in its entirety.

NYS DOH does not require a “reporting” capability, such as would be available using reporting or business intelligence capabilities of Crystal Reports or Cognos or similar tools.

NYS DOH has the following requirements:

1. New York State requires that the solution provide DOH and EDR users with views into their workload. Examples of such views include:
  - a list of death certificates assigned to the user,
  - a list of death certificates pending signature/certification/registration,
  - a list of death certificates that have surpassed the 72-hour registration requirement,
  - lists of death certificates assigned to funeral directors in a district (for registrars),
  - a *summary* list of death certificates signed/certified/registered by the user,
  - a *summary* list of disposition permits issued per funeral director (for registrars),
  - a *summary* list of disinterment permits issued per funeral director (for registrars),
  - a *summary* list of death certificate copies that have been issued per month,
  - a *summary* list of death certificates that were dropped to paper,
  - a list of disposition or disinterment permits, per funeral director, that have not yet been endorsed,
  - a *summary* list of death certificates by status (pending, filed, dropped to paper, etc.),
  - a *summary* of all death certificates that have not successfully passed SSA validation,
2. All views must be displayed on-screen, and must be printable to standard 8.5x11” paper (portrait or landscape).

The specific data views will be established at the start of the project. NYS DOH anticipates approximately twenty such views in total.