

NEW YORK STATE DEPARTMENT OF HEALTH VITAL RECORDS

A Request for Proposal for:

Electronic Death Registration System, *and*
Independent Verification and Validation Services

RFP Number

0805130929

WRITTEN ANSWERS TO QUESTIONS

NYS DOH Response to Written Questions, and
Questions Received at Bidders Conference

November 21, 2008

Proposal Due Date

December 8, 2008, 5pm
~~December 1, 2008, 3pm~~

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A General Inquiries

A.1 Miscellaneous

Q 1: Do you expect many proposals for this RFP?

A: Yes.

Q 2: Are there any existing systems you've seen that you would like to emulate?

A: NYS DOH does not have a preference for pre-existing or entirely new systems.

Q 3: How long does the authorization to do business with the State application process take? Does this process need to be completed before submission of the RFP?

A: NYS DOH does not have a prescribed amount of time that would be required to register to do business in New York State.

You do not need to be registered to do business with New York State to submit a proposal. You need to be registered to do business with New York State to be awarded the contract.

Q 4: Section B Background page 3 states: "Registered death certificates are also the basis for issuance of various paper documents and permits, for example disposition permits. Paper copies of certain documents and permits will continue to be used by select operations." Are there any regulations or laws requiring the retention of original "wet signature" documents? If yes, then what are the details of those regulations?

A: NYS DOH has existing processes that address paper document retention schedules. These are not pertinent to the requirements of the RFP.

Q 5: General, Many times responses to questions lead to more questions. Would DOH consider one additional round of questions based solely on the November 21st responses to bidder questions?

A: No.

Q 6: Will use of the newly developed system be voluntary, or will the stakeholders be mandated to use it?

Q 7: Is EDRS system mandatory or voluntary for all users?

A: NYS DOH does not at this time have a legislative mandate for the use of the system.

Q 8: Section C.1.1.1 Project strategic goals page 5 states: "Improve the efficiency and timeliness of death registration for all stakeholders involved in the death registration process." Does the Department have goals in mind for efficiency and timeliness?

Q 9: Section B Background page 3 states: "facilitate more timely availability of data". What is the time goal for making data available?

A: The Department seeks to have 100% of all deaths submitted and registered electronically, and available for reporting purposes within three days of the death.

Q 10: May the vendors have a voided copy of DOH-1961 in order to review the items on the certificate and answer certain questions related to the certificate completely?

A: A voided copy of DOH-1961 will be made available to the winning bidders.

Q 11: Is CMA restricted from response and award of these contracts?

A: Yes.

A.2 Bidder Conference Related

Q 12: Will the attendee list be published?

Q 13: I would like to a list of attendees of today's bid conference. Will one be provided?

Q 14: Will a list of meeting attendees be made available via the bid website?

A: Yes.

Q 15: Will today's presentation be made available via the bid website?

A: Yes.

A.3 Appendix H HIPAA (LEGAL)

Q 16: Both, page 2, section Appendix H – II.H We acknowledge and will agree to a HIPAA Business Associate Agreement if awarded this work; however for confidentiality reasons we request that DOH agree to a change in section II(h) that disclosure of our internal policies, books and records be limited to the Secretary of Health and Human Services.

A: NYS DOH agrees; internal policies, books and records do not need to be made available to DOH.

Q 17: Both, page 3, section Appendix H – VI(a) Given that there are no dates identified on page one of the BAA, please confirm that the Term of the BAA as the dates of performance under a resultant contract award, estimated as September 26, 2008 through September 25, 2009 as provided on the Position Recruitment Forms.

A: The term of contract for selected development vendors is *estimated* to be April 2009 through October 2017.

The term of contract for selected IVV vendors is *estimated* to be April 2009 through October 2011.

Q 18: Both, page 3, section Appendix H – VI(b) Please confirm that the reference to “Master Agreement” of the Agreement means the contract issued to support Project Definition DOH 2008-14.

A: Yes, the “master agreement” means the contract of which appendix H is an appendix.

Q 19: Both, page 3, section Appendix H – VI(b) Please confirm that the indemnification applies to the extent required by the HIPAA regulations; and that therefore it is correct to interpret the indemnification as covering the cost of penalties assessed by the Secretary of Department of Health and Human Services or the State (including the State’s reasonable attorneys’ fees) pursuant to the applicable HIPAA regulations. In addition, the State will promptly notify the contractor of any claim or action covered under this provision, with the contractor controlling the defense and settlement of such claim.

A: NYS DOH agrees.

Q 20: Both, page 5, section Appendix H – Miscellaneous (b) Since neither party will necessarily know in advance what might be required to comply with future regulatory changes, we request that the following italicized text: “The Parties agree to *work together in good faith* to take such action as is necessary” be added.

A: NYS DOH agrees to add the following text: *The Parties agree to work together in good faith to take such action as is necessary.*

Q 21: Both, page 5, section Appendix H – Miscellaneous (f) Please indicate if HIV/AIDS information is to be disclosed to contractor during the project.

A: This information is disclosed to the contractor from confidential records which are protected by state law. State law prohibits the contractor from making any further disclosure of this information without the specific written consent of the person to whom it pertains, or as otherwise permitted by law. Any unauthorized further disclosure in violation of state law may result in a fine or jail sentence or both. A general authorization for the release of medical or other information is NOT sufficient authorization for further disclosure.

A.4 Subcontracting

Q 22: Can a subcontractor provide staffing to both development and IVV partners?

A: No. However, there is no restriction for a subcontractor providing staffing to multiple vendors of the same type (multiple IVV *or* multiple Development vendors).

Q 23: Can a subcontractor be bid on both the development and the IVV bids, but only serve on one team?

A: No. Vendors, including subcontractors, cannot be included in bids for both contracts.

Q 24: Can a subcontractor team with both development vendors and IVV vendors providing different services?

A: No.

B Budget and Funding

Q 25: Is the budget for this project approved and available? Or does the DoH require to obtain OSC approval before an award is made?

Q 26: If the information is available for public consideration, can the DoH identify the budget limit for the project?

Q 27: Is NYS DOH able to share the expected cost for the development effort?

Q 28: Do you have any budgetary constraints for bids?

Q 29: General, The current fiscal deficit facing New York State is impacting numerous procurement opportunities. Has a budget and the funds been approved for this project? Is yes, has the budget been approved in FY 2008-09 or FY 2009-10?

A: OSC will approve the contract. The budget will not be disclosed at this time.

Q 30: Governor Paterson imposed spending controls on State agencies this week. Will this affect the EDRS project in any way?

Funds available?

Project scope or timeline?

Involvement of users?

A: NYS DOH will follow all standard New York State procurement regulations and procedures in making an award, including any additional processes and controls that may be imposed upon agencies.

Q 31: Has the NYS DOH received a SSA or other federal grant and/or a state appropriation for the EDRS project?

A: NYS DOH has not received SSA or federal grant money.

C Proposal Submissions and Evaluations

C.1 Submission Dates

C.1.1 Change the Proposal Submission Due Date

Q 32: First page - DOH response to questions on 11/21, then proposal due date 12/1. This gives vendors a mere 3 or 4 business days to complete a proposal. If answers to questions radically change the assumptions towards developing a solution then we will need to scramble over a holiday weekend. Any chance of changing proposal due date to Friday 12/5 or later?

Q 33: Can the Proposal Due date be extended by two weeks to December 15th to allow for sufficient time to incorporate information received from the DOH Response to Written Questions?

Q 34: Section GQ, Page : In order for us to better reflect the responses to submitted questions in our proposal, we are requesting an extension to the proposal due date of 2 weeks.

Q 35: The RFP has a release date of October 9, but was not announced in the New York State Contract Reporter until October 13. In addition, the answers to questions are scheduled to be published on November 21 leaving only 9 calendar days (including the Thanksgiving Holiday on November 27) to respond to DOH clarifications. Can DOH extend the due date for proposals so that vendors may have sufficient time to submit proposals that fully address DOH's clarifications in answers to vendor questions?

Q 36: We request that the proposal due date be changed to Monday 12/15/2008.

Q 37: Would NYS DOH consider allowing more time between the posting of responses and the proposal due date?

A: Any changes to the procurement timeline will be posted in writing on the NYS DOH website. NYS DOH has adjusted the proposal due date to provide ten business days for vendors to finalize their proposals once written answers are published.

C.1.2 Provide Answers Early

Q 38: Is it possible to get the answers sooner than November 21, 2008? Receiving answers on November 21st provides only for business days to address the answers in our proposal.

Q 39: Can answers to questions be posted prior to 11/21?
3-4 business days does not provide sufficient time to react to answers provided.
Timeframe for DOH to respond does not match vendors timeframe to react.

A: No.

Q 40: Since you have responses to some of the questions, is there a reason you wouldn't post the questions and answers that are ready and then the remaining questions on the 21st?

A: NYS DOH is required to follow the stated timeline regarding publication of answers to submitted written questions and questions received during the bidder conference.

C.2 Proposal Submission Content

C.2.1 Issued Amendments

Q 41: For section D.1.2.1 of the NYS DOH RFP, should this paragraph concerning the Development Vendor Project Information tab actually read "For the first tab," followed by the other tabs reading "second tab" and "third tab"? If not, what is the first tab?

Q 42: Page 103, section D.2.1.1 IVV vendor proposal checklist. The table on page 102 states that the checklist goes in the cost proposal form; but D.2.1.1 states it goes in the technical proposal. Where does it go?

Q 43: Technical proposal: D.2.2 table shows first tab as the project information, however D.2.2.1 lists it as the second tab. The same goes for the other sections in the Technical proposal. What is the correct order of the tabs or is there a missing section to the technical volume?

A: These items have been corrected and are available in Amendment 1 on the EDRS RFP page of the NYS DOH funding website.

C.2.2 General

Q 44: Is it acceptable to the state to provide separately sealed technical and cost proposal responses in two separate packages that are clearly labeled according to the proposal requirements?

A: Vendors are not required to deliver a single package containing the two separate, sealed proposal items. If a vendor chooses to deliver two packages, one containing their cost proposal and a second containing their technical proposal, they must be *clearly marked* which package contains which proposal.

Q 45: What version of Adobe Reader is acceptable to the state *<for submission of electronic proposal content>?*

A: Version 8 or 9.

Q 46: If two companies are partnering to respond to an RFP (as Prime Contractor and Subcontractor), is it required for the Primary Contractor to actually mail/hand deliver the package?

A: The requirement is that a complete proposal (as defined in section D of the RFP) must be submitted per the submission instructions described in section E.4 Submission of Proposals. The details of delivery are not of consequence.

C.2.3 Cost Proposal Attachments (1-9)

Q 47: Where is the electronic version of the Vendor Responsibility Questionnaire?

A: The electronic version of the Vendor Responsibility Questionnaire can be obtained from <http://www.osc.state.ny.us/vendrep/templates.htm>.

Q 48: Which address does the ST-220-CA [attach 8] form go to? Menands or Albany and if Menands, what is the phone # for the "covered agency" that should be referenced on the form?

A: Submit form ST-220-CA with your Cost Proposal and Administrative envelope.

Q 49: For completion of Attachment 9 (end date item), need to know if the hours should be an estimate of 3.5 or 8.5 years? According to section A of the RFP (Introduction) = The contract with the Development vendor will be for 3.5 years, with 5 additional years of annual maintenance and support for a total of 8.5 years.

A: Attachment 9, State Consultant Services Form A should be an estimate for the initial term of the contract, 3.5 years.

Q 50: Section E.11, the RFP requires form attachment 09 and form attachment 20 related to planned employment by the vendor for the contract term. Since this contract is a fixed price bid and does not involve consultant services, are these forms still needed for submission?

A: Yes, these forms are required. This procurement falls under the consultant disclosure legislation.

Q 51: Both, page 93/103, section D.1.1.2/D.2.1.2 The Transmittal Letters require the bidders to assure that their offer is valid for a minimum of 365 days. Is it a correct assumption that DOH understands that the key personnel submitted cannot be “held” for the same period of time? Can we assume DOH would not require the availability of key personnel past the estimated 90 day selection date?

A: Key personnel must be available (i.e. “held”) at least until the estimated contract start date. Key personnel substitutions must be of equal or greater qualification, and are subject to NYS DOH approval.

C.2.4 Technical Proposal Attachments (10-18)

Q 52: General, Attachment 10: For the response for Attachment 10 document, should the development vendor remove section B from the document or leave it blank?

A: Per the instructions included in Attachment 10, “If you are a development vendor submitting a proposal in response to the EDR RFP, please complete this section and delete section B IVV Vendor Project Information.” A similar statement is made for IVV vendors to delete section A Development Vendor Project Information; in this instance the section will automatically re-number itself to A, and that is acceptable.

Q 53: Can attachments 14 – 18 be included in a proposal appendix and be referenced from the appropriate proposal section?

A: Yes. Clearly mark the appendices so that evaluators can easily find the materials.

Q 54: General, Attachment 15, 16, 17 and 18: What is the purpose of these templates? Are bidding vendors expected to provide their sample templates or respond with their understanding pertaining to the items in the templates provided with the RFP?

A: NYS DOH expects the awarded contractors to use these project management templates and other standard templates from NYS DOH Project Management Field Guide in the course of the project. For purposes of proposal submission, vendors should complete the attachments with their understanding of items that would pertain to the template topics as you understand the project now.

Q 55: For the response to the RFP it was not clear if the vendor should address requirements that are mentioned throughout the RFP. Should the vendor address them in their response, and if so where?

A: See section D. Proposal Requirements for specific information pertaining to proposal submissions.

Q 56: How should a project tool (e.g. a project dashboard) that could be bid by both the developer and the IVV be bid?

A: NYS DOH would view inclusion of functionality such as a “project dashboard” as relating to one or more of the following: quality assurance, software quality, formal and documented project processes, project management, change and risk management, or initial project planning. These are proposal submission topics.

If you are an IVV vendor, you may also include such capability within the Proposed Solution Verification and Validation Strategy portion of your proposal.

If both vendors submit similar options or capabilities, NYS DOH will determine which it wants to use at the start of the project.

C.2.5 Contract Award Attachments (19-20)

Q 57: Should attachment 20 – Form B reflect costs for the total duration of the project or just for the first year – through March 31, 2009?

A: Attachment 20 - State Consultant Services Form B must be completed and submitted on an annual fiscal year basis, e.g. April 1, 2009 - March 31, 2010.

C.3 Proposal Evaluations

Q 58: Would our proposal be viewed in a less favorable light because we haven’t worked with government bodies?

A: No. All proposals are being viewed equally on their cost and technical merits.

C.4 Cost Proposal

Q 59: Attachment 4 – Cost Proposal: In the Cost proposal form, there is no line item for quoting any third party software cost. Should this cost be included in the “Solution Development Cost” line item?

A: If your solution uses third party software that is *not* identified as NYS DOH standard IT environment technology, then you must include those license costs within item 1 Solution Development (Iterative through Final Candidate V&V) of your Cost Proposal Form.

Q 60: IV&V, page 104/110, section D.2.1.4/D.3.1 On page 104 the RFP states “the Cost Proposal Form is Mandatory but is *not* scored or awarded points”; however on page 110 the RFP states the cost proposal is 25% of the total score. Please clarify.

A: Information from the Cost Proposal Form is used in the cost evaluation process (scoring and point award), but the form *itself* is not scored or awarded points.

Q 61: Can two or more distinct cost options be submitted within one proposal?

A: No.

C.5 Oral Presentations

Q 62: IV&V, page 109, section D.2.3 Please provide the “mathematical range” required to be invited to meet with DOH evaluators.

A: Invitation to the oral presentation meeting is determined based on vendor scores at the point Proposal Price, Project Information & Staffing, and Proposed Solution Technology/Proposed Verification and Validation scores are completed. Vendors who are not within mathematical range of winning the bid *at that point* will not be invited to the oral presentations.

Q 63: Can you provide an estimate of when the Oral Presentations will be held?

A: No.

C.6 Minority and Women Owned Business

Q 64: How is minority certified company encouraged while evaluating the contractors? We are looking for whether there is specific metric used to encourage or it is of personal perception?

A: Minority and women owned business status is not scored or awarded points in the evaluation of proposals.

Q 65: If a minority certified company teams up with large non minority company, we will get the same benefits?

A: Minority and women owned business status is not scored or awarded points in the evaluation of proposals.

Q 66: The NYS Contract Reporter RFP announcement specifies a Minority Sub-Contracting Goal of 5% and a Women Owned Sub-Contracting Goal of 5%. Section D.1.1.7 of the RFP states “The goal for usage of M/WBE’s is at least 10% of monies used for contract activities“ making no separate goal distinctions for minority and for women owned businesses (i.e. potentially implying a combined goal that could be met wholly by either category). Can DOH clarify if there are goals specific to minority and woman owned businesses respectively, or if only one category would be sufficient given that overall percentage is met or exceeded?

A: The goal is 10%; 5% minority-owned and 5% women-owned.

C.7 Eliminations

Q 67: D.3.4 eliminations p.111: Will DOH notify bidders if they have been eliminated at the time of elimination?

A: Bidders will be notified immediately *only* if they fail to meet the mandatory minimum proposal submission requirements. Bidders will be notified in writing upon selection announcement that they did not win the bid.

D Base Technology

D.1 Core Technology Considerations

Q 68: NYS DOH web applications are all built on JAVA platform. Is this new application strictly to be developed on JAVA platform or is there a room to switch to Windows platform?

Q 69: Will NYS DOH consider a COTS application built on a Microsoft platform, (SQL Server, “.Net”, “C#”, ASP)?

Q 70: Can a solution based on the Java Portlet approach be proposed?

Q 71: Can we propose a J2EE solution that leverages FileNet for document management? We do not see J2EE and FileNet as an either/or approach as specified in the RFP.

Q 72: Can the java solution utilize other software product, ie BPM tools? If so would that be part of this proposal?

A: NYS DOH requires that the proposed solution use the technologies described in the RFP. Proposals which use alternate platforms, products, or technologies will be deemed non-responsive.

See section A.2 Important Bidding Information on page 2: “Proposals that include technologies other than those specified here will be considered non-responsive and will not be considered.”

Q 73: (C.1.12) States that “Ideally, the State should be able to add new data elements, change screens, develop new import or export formats, change business process flows, and create new reports with minimal to no assistance from the vendor.”

The RFP also requires field level security. Do these requirements indicate that NYS would prefer a FileNet solution over a Java Enterprise solution?

A: NYS DOH does not have a preference for Java or FileNet solutions.

Q 74: You specified J2EE; does this imply that the Department is not open to the newer versions of Java Enterprise Edition, or did you intend this to be JEE?

A: JEE is acceptable.

Q 75: Is a scanning solution required to support the dropped to paper and manual processes in the future state system?

A: No.

Q 76: Does the future state java solution need to include Content Management Integration (CMS) and capabilities?

A: Any integration requirements with existing or future NYS DOH content management capabilities are already included in the RFP or its amendments.

Q 77: If so, would the state entertain a CMS solution other than FileNet?

A: No.

Q 78: If so, is the work to integrate the java solution into FileNet part of this proposal?

A: Any integration requirements with existing or future NYS DOH content management capabilities are already included in the RFP or its amendments.

Q 79: Should an associated software proposal be provided concurrent with the development proposal or at a subsequent point in time? (C.1.8.3)

A: No.

D.2 Commercial Off the Shelf Versus Custom Developed

- Q 80:** Please confirm that NYS DOH is expecting vendors to submit a custom development solution and NOT a packaged software implementation.
- Q 81:** Can a transfer solution be proposed if it confirms with the J2EE requirement or is the DoH looking for a 100% custom developed solution?
- Q 82:** A.2 Would NYS DOH consider a COTS solution over a developed solution if the COTS solution were capable of meeting all functional requirements, successfully communicating with and interacting with required systems, and complying with Federal, State, and Vital Records industry standards?
- Q 83:** A.2 Why is NYS DOH only considering solutions on two technology platforms when proven COTS solutions on other platforms exist and are successfully deployed in several states with larger population and transaction volumes than those listed in this RFP? Existing COTS solutions could be provided that meet all functional requirements and project goals and are interoperable with other state systems
- Q 84:** Is NYS DOH willing to consider a COTS (Commercial Off The Shelf) application as opposed to a custom built application?
- A:** NYS DOH will consider all proposed solutions that adhere to and achieve the requirements as specified in the RFP. Vendors may propose a custom-developed solution, an existing packaged solution, a combination of these two, or other possible solutions. NYS DOH requires that the proposed solution use the technologies described in the RFP. Proposals which use alternate platforms or products will be deemed non-responsive.

D.3 Licensing and Ownership

- Q 85:** Will NYS DOH consider a proprietary COTS application that includes unlimited licensing for “use” as opposed to sole ownership?
- Q 86:** Section C.1.5 – Will NY DOH consider unlimited licensing to the use of all “training materials created by the vendor, including all source material and code used to produce the final deliverable” as opposed to sole ownership?
- Q 87:** (C.1.8.5) The vendor may bring existing intellectual property into the solution from another Electronic Death system and, while the State of NY would obtain ownership of works derived from those properties, we would need to retain unlimited rights to at least the base materials. Would the State of NY be willing to work with us on this and allow us to retain these intellectual property rights?
- A:** Yes. NYS DOH will accept unlimited licensing in place of sole ownership for proposed solutions that are considered “off the shelf” or otherwise include intellectual property belonging to the vendor.

Q 88: Section C.1.8.5 addresses ownership, and while it is assumed and normally accepted that such passages refer to "developed applications" rather than component software itself (i.e. IBM FileNet P8 Content Manager or Business Process Manager, etc.), please confirm this is correct?

A: This is correct.

Q 89: Section C.1.8.3 Software Licensing, item 1 states that "NYS DOH requires that licensing of any proposed solution be based on an enterprise model that accommodates unlimited number of NYS DOH users, including those of its client agencies and local district users, in perpetuity."

Does this apply to both the developed software application, as well as the component software (your reference to 3rd party license costs) such as FileNet P8 (CM, BPM, etc)?

A: Yes. NYS DOH must accommodate internal and external users involved in the death registration processes. Any solution or component included as part of the solution that may be accessed or used by solution users is subject to the same licensing requirement.

Q 90: If yes, can you clarify what number of users this represents, both today and looking toward perpetuity?

A: NYS DOH anticipates no more than 500 concurrent users in an emergency situation. Any solution that includes a concurrent user restriction must not prevent NYS DOH from using the solution in an emergency situation in which the number of concurrent users exceeds the concurrency allotment.

Q 91: Should we also include licensing for external users, such as nursing homes, funeral homes, hospitals, medical examiners and any other group other than the 3 you specified?

A: See section C.1.8.3 Software Licensing, item 1 on page 19: "NYS DOH requires that licensing of any proposed solution be based on an enterprise model that accommodates unlimited number of NYS DOH users, including those of its client agencies and local district users, in perpetuity."

D.4 Warranty

Q 92: Page 19 Section C.1.8.2 Numbers 4: Does the warranty work include updates to documentation and training materials?

A: See Section C.1.8.2 Warranty, number 4: "All deliverables received by NYS DOH will be covered by the warranty, including any accepted changes incurred throughout the project."

Q 93: RFP Section C.1.8.2 Item 5 states “All work performed under the warranty or support/maintenance agreements must be warranted for 1 year from the time NYS DOH accepts that work, during which time if deficiencies are discovered the vendor must make corrections for free”.

Does this imply that the vendor would be in a perpetual warranty situation? Please clarify, i.e. once a fix is made, the warranty will start for an additional year for every fix made.

A: NYS DOH requires all work, including corrections to discovered deficiencies, to be warranted for one year.

Q 94: 1 year free warranty; what is the expected response time? Is it required that a resource be positioned onsite during this period?

A: If an issue is identified within the warranty period, NYS DOH requires the vendor to initiate corrective action within one business day.

NYS DOH does not require a resource to be positioned onsite during this period. However, should DOH deem it necessary to expedite the resolution of issues covered under warranty, the vendor will be required to be on-site.

Q 95: Section C.1.8.2, A, E8, Page 19, 1, 119: The RFP states that there will be a 12 month warranty period (following the 6-month pilot phase) and that the 1st year of maintenance will begin after the 12 month warranty period.

Please confirm that it is the Department’s intent that all enhancements and otherwise normal maintenance activities will be deferred for 12 months.

Q 96: RFP Section C.1.15.3, Item 15 states “The selected development vendor is required to provide operational technical/systems support to NYS DOH for system maintenance and administration for one year to start upon acceptance by NYS DOH of the final EDR solution.” Is maintenance and operations to be conducted in months 30 through 42 considered part of the free warranty services?

Q 97: Our understanding is that Maintenance and Warranty are two different sets of services. Between month 30 and month 42, will the State procure maintenance?

A: Vendors are required to describe their support and maintenance programs in their proposals. NYS DOH anticipates that support and maintenance services as described in section C.1.8.4 Support and Maintenance Requirements on page 20 are included as part of the warranty period.

Whatever is described as your support and maintenance program is applicable during the warranty period.

Q 98: "Section C.1.1.2; #6, Page 7: a) On page 1 the RFP states that the contract will be for 8.5 years, of which the year immediately following production implementation is a free warranty period.

Will the Department be providing operational support and enhancements during this warranty period or does the department intend to contract with the successful bidder to provide these services in addition to warranty support?

A: Vendors are required to describe their support and maintenance programs in their proposals. NYS DOH's expectation is that support and maintenance, as described in the vendor's proposal, will be applicable during the warranty period.

NYS DOH anticipates that it will provide first level operational response to its user base, and will conduct standard IT environment system administration.

Issues covered by warranty, or included in the vendor's support and maintenance programs, will be coordinated from NYS DOH to the vendor.

D.5 Support

Q 99: Page 17 Section C.1.6.2 Numbers 1: Is the DOH expecting the vendor will provide support 24x7x365?

Q 100: Does NYS expect that the vendor will provide specific response times or otherwise satisfy a specific SLA to guarantee the "24 x 7 x 365" level of service?

A: No. Section C.1.6.2 System Availability Requirements pertains to system performance requirements, not support and maintenance requirements. NYS DOH requires that the proposed solution *itself* be capable of functioning 24 x 7 x 365 without error.

Q 101: For the support and maintenance, functionality changes are not included in the annual support figures or would they prefer x hours of an enhancement support bucket per year?

A: Vendors are required to describe their support and maintenance programs in their proposals. For functionality changes that are identified during the support and maintenance period and that fall outside of the activities described by C.1.8.4 Support and Maintenance Requirements on page 20, NYS DOH will follow standard New York State procurement regulations and procedures.

Q 102: Section C.1.14; paragraph 9, Page 64: What are the requirements for Help-desk Support – must support personnel be present at NYS DOH site, or is telephone support acceptable?

A: Off-site telephone support is acceptable.

D.6 Data Migration and Data Requirements

Q 103: Page 3, Section B Background: What is the nature of the data conversion requirements for the development vendor? Will it require conversion of existing paper based certificates to be loaded into EDR system for data availability?

Q 104: Data Migration – Please confirm that NYS DOH does not require migration of any data for the EDRS solution.

Q 105: Is any data migration required from historical data? (C.1.13.7)

A: There are no requirements to convert existing data, paper records, or other electronic records to populate the new EDRS database.

E Technical Questions

E.1 Web Browsers

Q 106: With what web browsers and versions will the EDRS require compatibility?

Q 107: What browsers and browser versions need to be supported? (C.1.8)

Q 108: With regards to browsers, what are the target browsers that should be compatible with the application?

A: The target browsers include the current and one major version back of Internet Explorer and Firefox (i.e. the delimiter in front of the decimal point).

E.2 System Configurability

Q 109: C.1.12 First Paragraph states “NYS DOH desires a highly configurable system that will allow the State to adapt the system to typical changes in business requirements over time without the need for reprogramming. Ideally, the State should be able to add new data elements, change screens , develop new import or export formats, change business process flows and create new reports with minimal to no assistance from the vendor.”

Can you please define the scope of this request for extensibility more clearly? Example: “The system is required to allow users to create new reports.” or “The system will include a User Interface configuration/layout tool.” etc.

Q 110: Does NYS expect that such a set of capabilities would also not require help from a database administrator?

Q 111: Does the “highly configurable system” requirement involve system changes performed by technical resources or business users? (C.1.12) Does the requirement mean business users would be able to modify all aspects of the system or can some of the tasks be developer based? If a split between the two is envisioned, which components would be modified by developers and which by business users?

A: NYS DOH desires a highly configurable system that will allow the State to adapt the system to typical changes in business requirements over time without the need for extensive reprogramming.

NYS DOH understands that not all future adaptation needs would be able to be accommodated by configurability alone, and that some business environment changes would require programming or database changes.

The specific extent of configurability will be determined at the start of the project.

E.3 Development, Design, Architecture

Q 112: Does NYS DOH have standards / expectations for exactly what artifacts should be included in the detailed design document? (e.g. class diagrams, sequence diagrams, interaction diagrams, module detail design descriptions, interface agreements, etc) (C.1.2). We reviewed the SDLC document templates on the NYS site and would like to clarify what is required for this engagement.

Q 113: Is the Technical Specification Template used to document the detail design? Does this template include low level details, like class diagrams and class design? Or it is intended for documenting macro level modules? (C.1.2)

A: The specific artifacts required for detailed design and their management and delivery to NYS DOH will be established at the start of the project. All artifacts will be by-products of the tools identified in sections C.1.2 Software Asset Management Requirements and C.2.3 Software Asset Management Requirements.

Q 114: Is there a SOA architecture in place today that can be leveraged for this project? If an architecture is in place today, please provide additional detail.

A: NYS DOH’s SOA architecture is evolving. We anticipate we will be using a common architecture for all application interoperability. Further details will be made available as necessary at the start of the project.

Q 115: With regard to SOA compliance, is DOH most interested in the application of SOA to the internal workings of the system, or mainly with the way the system interacts with other applications? In other words, should the system internally use services, or is the main focus that it should expose services to the outside world for inter-system interactions?

A: NYS DOH requires SOA capabilities for communicating with other DOH services and client applications. DOH services and client applications will communicate with internal applications (i.e. within the NYS DOH IT environment) and external constituents or applications.

E.4 User Interface Design

Q 116: As part of the existing knowledge base that the vendor would bring to bear on the EDRS, we may be able to provide examples or perhaps even implementations of user interfaces which are already part of another Electronic Death system. Would the State be amenable to possibly using these artifacts?

A: NYS DOH will consider all proposed solutions that adhere to and achieve the requirements of the RFP. NYS DOH requires that the proposed solution use the technologies described in the RFP.

Q 117: Is there a style guide for NYS or DOH sites? If not will one be required for this effort?

Q 118: Is there an Interface Agreement Specification Template? (C.1.2)

A: NYS DOH does not have a formal style guide. We expect the vendor to provide appropriate documentation and WSDLs for any interfaces.

NYS DOH is not aware of an “Interface Agreement Specification Template” as one of its identified project artifacts.

Q 119: Page 17 Section C.1.7.1: In listing “ease of use” for the application and realizing that the web application would be outward facing (i.e. funeral homes, cemeteries, etc.) does the application need to be verified as Bobby or 508 compliant?

A: System ease of use is critical to the success of the project and is identified as the first of the strategic goals listed in section C.1.1.1 Project Strategic Goals on page 5.

While NYS DOH has not explicitly required Bobby or 508 compliance, or other usability standards compliance, the selected IVV will *not* be restricted from relying on such standards in their usability testing of the solution.

Vendors are encouraged to anticipate working to achieve a high standard for system ease of use.

Q 120: Page 18 Section C.1.7.2: It states that “NYS DOH understands “user-centered design” to be a methodology whereby actual users have input into how they will interact with the solution.”

Based on this requirement, will NYS DOH staff be assigned to be available for this work and have a time commitment from their management to be available for this interaction as opposed to trying to accommodate it aside from their “day to day work”?

This requirement will need a strong commitment by the NYS DOH and will be outside the selected development vendor’s control.

A: NYS DOH understands the required time commitment and resulting accountability implications.

Q 121: For the user-centered design: (C.1.1.4)

How much access will be provided to end users? Will end users be able to attend Joint Application Design (JAD) sessions? How many end users will attend JAD sessions? How much time in the schedule is allocated for the JAD phase?

Where will the JAD sessions occur, will be centrally located or will the vendor have to travel to the individual user site.

A: See section C.1.7.2 User-Centered Design and Usability Testing, page 18, second bullet: “NYS DOH will make every effort to identify, organize, and coordinate actual user input within the project. Actual users will consist of NYS DOH Vital Records staff and external users (e.g. registrars, funeral directors, and medical certifiers).”

The specific users and the extent of their involvement will be determined at the start of the project. All sessions will be conducted in the Capital District (Albany, Rensselaer, and Schenectady counties).

Q 122: Section C.2.1.4; #6, Page 76: As NYS DOH refers to 'user-centered design methodology, can NYS DOH specify the number of full-time and part-time VRS users that will be dedicated to the project? Will this user group be consistent throughout the project?

Q 123: RE: user centered design methodology: with the challenges discussed in identifying users, is there a minimum number of users DOH can commit to facilitate effective review prior to wider user release, beta, and pilot?

A: The specific users and the extent of their involvement will be established at the start of the project.

Q 124: With access to users possibly limited, is it safe to assume IVV vendor can be viewed as a reasonable user? Might these people be more sophisticated than some field staff?

A: NYS DOH values input from actual users as well as usability testers deemed “reasonable users.” Input from both audiences will be obtained at specified points throughout the project.

E.5 Third Party Technology, Plug-Ins, and Open Source

Q 125: Plugins – Are they allowed? What are the limitations we should be aware of?

A: NYS DOH will consider all proposed solutions that adhere to and achieve the requirements of the RFP. NYS DOH requires sustainable technology.

Q 126: What is the DoH’s approach to using Open Source Software in the project?

Q 127: Is NYS DOH open to using open source frameworks such as Struts, Hibernate, and document generation open source APIs such as iText?
Please provide a list of open source frameworks that have been identified as being acceptable.

Q 128: Does NYS allow using open source tools and frameworks?
If so, are there any licensing models or specific licenses that NYS considers unacceptable?

A: NYS DOH will consider all proposed solutions that adhere to and achieve the requirements of the RFP. NYS DOH requires sustainable technology.

NYS DOH will consider as non-responsive any proposed solution that unduly obligates the state in any capacity. Refer to section C.1.8.3 Software Licensing for licensing requirements.

E.6 Print Screen

Q 129: (C.1.10.4) RFP states that “The solution must prevent ‘print screen’ capabilities when data is displayed on any screen. Printing of any data must be controlled through print requirements as specified elsewhere in this RFP.” It is not actually possible to guarantee that a user will not be able to print any given screen in a browser application. Once the data reaches the browser client, it can be made inconvenient or even difficult to allow the screen to be printed on standard browsers; but it cannot be guaranteed. Will this requirement be amended or removed?

Q 130: C.1.10.4 Number 8 States "The solution must prevent "print screen" capabilities...". Can you define this? Example: "Only when the browser has focus." or "Only the Print

Screen button on the keyboard would be disabled; screen capture software would not be affected."

Q 131: Section C.1.10.4 item 8 page 25 states "The solution must prevent "print screen" capabilities when data is displayed on any screen. Printing of any data must be controlled through print requirements as specified elsewhere..." Programmatically the ability to issue a File/Print command can be controlled, however pressing the "Print Screen" button will place a bitmap graphic of current screen into the clipboard. Does the Department have a technology in place, or technological solution in mind to prevent the Operating System from accomplishing this function? It would seem that the presence of this requirement indicates the technology already exists. Can you clarify your intent around this requirement?

Q 132: Clarification regarding preventing "Print Screen" (RFP Reference Section C.1.12.11 Print Permits). Would DOH like to prevent users from using the "Print Screen" key on the keyboard, or just printing from the browser window?

A: NYS DOH has accounted for all instances in which a death certificate or supporting document must be printed (e.g. a working draft, or a certified copy). Given the sensitive nature of the information present on a death certificate, it is NYS DOH's intention with the requirement to "prevent 'print screen' capability" to make printing the data displayed in the browser window as difficult or inconvenient as possible, with the understanding that total restriction may not be achievable.

E.7 Payment Processing

Q 133: Section C.1.12.13; #9, Page 42: Is there an existing payment processing solution used by NYS DOH? If so, what is the solution? If NYS DOH will continue to utilize, how is it anticipated that EDR will interact and integrate with this solution?

A: NYS DOH does not currently directly process payments from funeral directors or funeral homes. NYS DOH requires the ability for authorized users to order copies and provide payment information from within the proposed solution.

NYS DOH has a third party arrangement with a vendor for accepting payment from the public for requests for certificate copies.

The specific requirements for payment processing within the context of this RFP will be determined at the start of the project. Vendors must not assume that the existing payment processing service can be leveraged for the proposed solution.

Q 134: How will non-electronic payments be delivered (e.g. cash, check, money order)? (C.1.12.13.9)

A: The specific requirements for payment processing within the context of this RFP will be determined at the start of the project.

Q 135: What activities require payments? What is the cost structure? (C.1.12.13.9)

A: Purchase of a certified copy of a death certificate requires payment. Purchase of a certified transcript of a death certificate requires payment.

Specific cost structure information will be specified during the project and must not be hard-coded into the solution.

Q 136: Is payment invoicing part of the RFP scope (e.g. sending invoices, accounts receivable, etc)? (C.1.12.13.9)

A: No.

Q 137: Does tax need to be calculated for payments? (C.1.12.13.9)

A: No.

E.8 Localization

Q 138: Is the EDRS solution required to develop any interfaces, reports, etc. which would utilize any language other than standard American English (e.g. Spanish, French, etc.)?

A: No. However, NYS DOH anticipates localization concerns to be accounted for as part of the solution's architecture and design; this would thereby enable future localization efforts if necessary.

E.9 System Performance

Q 139: The RFP mentions the requirement to support 4,000 concurrent users. Will load testing for 4,000 concurrent users configure the users to access the system with 'think time', i.e. with the delays between actions that actual users have, or is there a requirement to support 4,000 instantaneous users?

Q 140: The proposal states 4,000 concurrent users; do you mean logged-in users?

A: The specific system performance test plan will be written collaboratively with NYS DOH, the IVV vendor, and the development vendor at the start of the project.

See Amendment 2 for clarification of system performance requirements.

Q 141: (C.1.6.2) Does the State require the EDRS to work in conjunction with any load-balancing, clustering, cache servers, or other failover or scalability boosting technologies?

A: Yes. The NYS DOH technical environment includes load balancing, cluster, and failover technology. The proposed solution should be capable of running in a high availability environment, and architected in a manner which does not require the host to maintain a session's state.

See Amendment 2 for further clarification of NYS DOH technology stack.

Q 142: Section C.1.1.1 Project strategic goals page 5 states: "system reliability and quality". What is the defined requirement for HA/DR (High Availability / Disaster Recovery)?

A: See section C.1.6 System Performance and Availability Requirements, starting on page 16. Disaster recovery is not within the scope of the project.

Q 143: Is it possible to provide a break up of the expected concurrent users by category of user – e.g. funeral home, physicians, coroners, etc.?

A: Refer to Attachment 23 EDRS System Performance Stats.xls.

Q 144: RFP Section C.1.6.1 states “The EDR solution must accommodate a peak throughput of ten (10) transactions per second with a response to user time of not more than 1 second per transaction.”

Does the 1 second per transaction refer to each and all transactions or an average response time per transaction?

Are there select, key transactions or does this requirement apply to all transactions?
Overall, please provide additional detail around this performance requirement.

A: The specific system performance test plan will be written collaboratively with NYS DOH, the IVV vendor, and the development vendor at the start of the project. NYS DOH's performance requirements pertain to every transaction.

Q 145: Does NYS DOH have load testing tools and load testing infrastructure?
Will NYS DOH provide the licenses required for load testing and make their infrastructure available for the EDRS project?

A: No.

E.10 System Availability

Q 146: Section C.1.9; #7, Page 21: Is this restating the requirement on page 17, #1, or is this intended to add an additional requirement that exceeds the scope of the requirement on page 17? If this is not restating the preceding requirement, if this an additional requirement, referring to hardware, network and software availability as hosted for production?

Q 147: C.1.9 #7 Please confirm that guaranteed system availability of 24x7x365 does not preclude routine planned system maintenance periods of relatively short duration.

A: Section C.1.9 Integration with NYS DOH's Health Commerce System, page 21, number 7 can be removed from the RFP.

Section C.1.6.2 System Availability Requirements, page 17, number 1 remains in force. This section pertains to system performance requirements, not hosting requirements.

NYS DOH requires that the proposed solution *itself* be proven capable of functioning 24 x 7 x 365 without error.

Q 148: Does DOH envision any maintenance windows for the EDRS system (assuming 24x7 availability)? Does the HCS system have maintenance windows? Is downtime during maintenance windows acceptable?

A: NYS DOH anticipates maintenance windows for the EDRS system. The HCS has maintenance windows. The EDRS application is required to be capable of running without stoppage or reboot.

Q 149: Has the current Health Commerce System (HCS) system at DOH, which will also include EDRS, been tested for 4,000 concurrent users (or more)? How many transactions per second does it execute, and what is the time per transaction? Please provide load and throughput capacity for current HCS system.

A: The proposed solution should be capable of achieving the stated performance goals in an isolated test environment with similar resources as will be available in the production environment.

See Amendment 2 for further clarification of system performance requirements.

E.11 Reports

- Q 150:** Is there a DoH standard or preference for reporting software?
- Q 151:** Does the DOH or NYS have a standard reporting product or platform upon which the reporting requirements would be delivered?
- Q 152:** Are there requirements for the utilization of a reporting tool for either pre-determined reports or adhoc reporting capability?
- Q 153:** How many reports are anticipated? (C.1.13.5)
- Q 154:** Would the DOH provide examples of all the reports that will be required?
- Q 155:** When will specific reporting requirements be completed? Who is responsible for this? (C.1.13.5)
- Q 156:** What output formats will be required to be output by the reporting system?
- Q 157:** As noted above, it's expected that EDR can be used to create new reports with minimal to no assistance from the vendor. Does this imply that NYS would like delivery of a reporting / business intelligence product or suite to be part of the solution?
- Q 158:** What interaction options (besides input parameters) will be required of displayed reports? For example: drill-down capability.
- Q 159:** Will printed reports be required to be accessible to the disabled?
- Q 160:** Will displayed reports be required to be accessible to the disabled?
- Q 161:** Are there other expectations for reporting which have not been stated?
- A:** See Amendment 2 for clarification of reports requirements.

E.12 External Interfaces and Exchanges

E.12.1 WebMICAR and SuperMICAR

- Q 162:** (C.1.13.7.3) How will the capability to “EDR solution must be able to integrate with a future real-time WebMICAR process” be validated? Is it expected that the EDR solution would be able to integrate with that future service without additional configuration and programming?
- A:** No. NYS DOH expects that future integration to any WebMICAR facility would require the design and development of an interface to support that integration. However, the proposed solution must be built using open standards that support ease of integration.

Q 163: Page 55 Section C.1.13.7.3 Numbers 5: When is WebMICAR expected to be available? When are the specifications for data exchange expected to be available?

A: NYS DOH does not have information on WebMICAR development plans or schedule.

Q 164: Page 55 Section C.1.13.7.3 Numbers 2: Is the SuperMICAR program capable of allowing for an automated interface? Are there existing systems that interface to this pc-based program?

A: NCHS does not currently provide an automated interface to perform SuperMICAR integration.

E.12.2 STEVE

Q 165: (C.1.13.8.4) RFP states that “If incorporation of STEVE does not satisfy the electronic IJE requirements, or is otherwise rejected by NYS DOH, the selected vendor will be required to create an electronic IJE capability”. Given that the fundamental premise of STEVE is a single point of integration for agencies that will use STEVE, how does the NYS DOH expect that a replacement for STEVE could be independently developed and accepted by other agencies?

Q 166: Page 57 Section C.1.13.8.1 Numbers 3: When is the STEVE application expected to be available? When are STEVE specifications expected to be available?

Q 167: What is the high level project plan for STEVE? When will it have stable interfaces defined, when will it be ready for integration testing, when will it go live? (C.1.13.8.1.3)

Q 168: When will the data exchange standards be available from the NCHS, CDC and NAPHSIS? (C.1.13.8.1)

A: See Amendment 2 for clarification of data extract and exchange requirements.

E.12.3 Inter-Jurisdictional Exchange

Q 169: How are out of state deaths handled?

A: Out of state deaths are coordinated cooperatively between states. This is referred to as “inter-jurisdictional exchange” and is abbreviated in the RFP as “IJE.” See section C.1.13.8 Data Exchange Requirements and Amendment 2 for clarification of data exchange requirements.

Q 170: How will the IJEs connect to the EDR server? (C.1.13.8)

Q 171: How will IJEs access EDR data (e.g. SOA interface, extracted feed placed in FTP site, etc)? (C.1.13.8)

Q 172: The RFP clearly provides the desired integration architecture for outbound interfaces from the EDRS. Is the same architecture required for inbound interfaces as well, i.e. should data from inbound interfaces also be loaded into the intermediate XML-based repository before being loaded into the EDR data repository? (RFP Reference Section C.1.13.8.1)

Q 173: Page 57 Section C.1.13.8.1 Numbers 1: Please provide clarification of the XML-based repository. Is this a data warehouse provided by the DOH?

Q 174: Does NYS DOH envision using an XML-DBMS for the intermediate XML-based repository, or store XML documents in an RDBMS or its FileNet content management system? If the intention is to use an XML-DBMS, does DOH currently have an XML-DBMS? (RFP Reference Section C.1.13.8.1)

Q 175: (C.1.13.8.5) Because it's use is completely restricted in all other respects, it appears that the sole purpose of including New York City data into EDR would be to export it from EDR to the master death file. Is this true? If so, couldn't the EDR simply support moving New York City data directly into the master death file and bypass putting that data into EDR's database entirely?

A: See Amendment 2 for clarification of data extract and exchange requirements.

Q 176: Will the NYC interface be all electronic? Or will it also utilize paper reports (and require data entry screens)? (C.1.13.8.5)

A: See section C.1.13.8.5 New York City Exchange on page 60: "The five boroughs of New York City constitute its own jurisdiction. New York City effectively functions as its own state and in almost all regards will be treated as such."

See Amendment 2 for clarification of data extract and exchange requirements.

Q 177: Will the Canada interface be all electronic? Or will it also utilize paper reports (and require data entry screens)? (C.1.13.8.4)

A: See the note in section C.1.13.8.4 U.S. States and Territories and Canada Exchanges on page 59 for Canada data exchange requirements: "Note: Canada is to be treated as another state (i.e. a jurisdiction)".

See Amendment 2 for clarification of data extract and exchange requirements.

Q 178: Page 3, B. Background: What system is used to manage vital records other than death certificates? Is there a requirement to integrate this system with the EDRS?

A: NYS DOH has several systems for managing vital record data. All requirements for data exchanges, internal and external interfaces pertinent to this project are provided in the RFP.

Q 179: Will NYS be responsible for coordinating schedules and negotiating interfaces with external groups?

A: Yes.

Q 180: Page 57 Section C.1.13.8.1 Numbers 2: When are the PHIN “vocabulary standards for vital records” expected to be published by the CDC?

A: PHIN and PHIN-MS requirements, as specified in section C.1.13.8.1 General Data Exchange Architecture of the RFP, are no longer applicable and can be removed as requirements from the RFP.

E.13 BackOffice Integration

Q 181: Does the data entry organization data enter only the personal information, or do they data enter the medical information as well?
Is the SuperMICAR coding of medical information done prior to sending the death certificates to the data entry organization, or after receiving back the data from them? (RFP Reference Sections C.1.13.7.2 and C.1.13.7.3)

A: In NYS DOH’s current process, medical information is data entered into the SuperMICAR program prior to data entry of personal information.

Q 182: C.1.13.7.1 #3 has a note on manual coordination that should be automated. Please describe how this automation is envisioned.

A: NYS DOH anticipates that fully paper and partial paper (i.e. dropped to paper) records received by the state must be able to be easily integrated into the EDRS.

NYS DOH has required that dropped to paper certificates include a human readable bar code to facilitate automated coordination between processes associated with paper records, the assignment of state file numbers, and the identification of the partial records in the EDR solution to enable further data entry.

Q 183: Which users / locations will require bar code scanning equipment? (C.1.13.6.9)

A: The unique case ID number and a human-readable bar code which identifies the specific case in the EDR solution must be printed on the death certificate which has been dropped to paper (p51).

Vital Records requires the ability to automatically identify the partial EDR record (based on unique case number) and assign a SFN to it *and* the paper record when the paper record is received in the back office (at the point of imaging, per the current process) (p53). NYS DOH anticipates this requirement will be met with the use of bar-code reading equipment proposed by the vendor.

Q 184: Please clarify “human readable bar code”.

A: A human readable bar code includes human readable and identifying characters or numbers in the bar code so that the code may *also* be read by a human being.

F Security and Digital Signature

F.1 General

Q 185: Will the IVV be responsible for verification of the physical environment for security and operational controls for the system?

A: No. The IVV will not be responsible for verifying the physical environment (e.g. locked rooms, locked buildings) in which the hardware and software run.

F.2 Data Access and Logging

Q 186: (C.1.10.4) It is also required that the “The solution must flag suspicious data and database access activities, and block database, user accounts, or data access as appropriate.” Will NYS provide examples or attack models which specify the nature of this suspicious behavior or will the vendor need to define a model which the application can detect?

A: Section C.1.10.4 Data and Database Security Requirements, requirement 7 which states “The solution must flag suspicious data and database access activities, and block database, user accounts, or data access as appropriate.” can be removed from the RFP.

Q 187: RFP Section C.1.10.7 states “The EDR solution must include audit and transaction logging on specific activities.” Does DOH require functionality to retrieve, process, or view online the audit and transaction log?

A: NYS DOH requires an ability to view the history of any given record, per section C.1.12.18 View History. NYS DOH anticipates transaction logging activities to be used to support these requirements.

Q 188: Section: 2.10 Data Confidentiality (Attachment 21-Security Requirements). 2.10.1. Contractor must provide data confidentiality and integrity assurances through technologies including but not limited to field-level encryption, file level encryption and/or strong ACL controls. Contractor agrees that information stored is to be encrypted using above average encryption strength (with 1024-bit or above) except where the information is required for basic system operation and encryption beyond industry-standard levels is not available. What data needs to be encrypted?

A: The specific data encryption requirements will be established at the start of the project and will be dependent on the type of solution proposed. Vendors can reasonably expect that personal, private, or sensitive information (PPSI), as defined in the glossary of State Cyber Security Policy P03-002 v3.1, could require encryption. State Cyber Security Policy P03-002 v3.1 is available at <http://www.cscic.state.ny.us/lib/policies/>.

Q 189: Section C.1.10; Critical Information, Page 21: Please provide a reference to the specific law that this section refers to.

A: Access to certificates and associated records is subject to Article 41 of the New York State Public Health Law, and the New York State Health Commissioner’s Administrative Rules and Regulations.

Q 190: Is it the intention of the security requirements to require that each user of the site have a separate connection to the database, using their own credentials rather than a shared connection pool that is used by all users and has shared credentials?

A: Users must be restricted from accessing data that they are not authorized to access. User access to all capabilities in the solution, and all data access authority will be role-based. This is applicable to all users and persons who have access to the solution and database.

The use of connection pools is supported and recommended.

F.3 SecurID and Authentication

Q 191: (C.1.12.2) EDR is expected to “support digital signatures and a dual factor authentication process provided by RSA SecurID® technology currently in use”. Would EDR integrate directly into the SecurID technology, or would EDR integrate indirectly via the HCS authentication? Would the EDR be expected to support other aspects of PKI in the solution (other than the use of SSL)?

Q 192: Page 42 Section C.1.12.13 Numbers 2: Clarify the definition of “sign”. Does NYS DOH anticipate having any unique signing methodology for the certificates in a similar fashion as the California EDRS has done using voice technology?

Q 193: Section C.1.12.2; #12, Page 33: Please elaborate on this requirement. What type(s) of digital signatures does this refer to?
Which use cases does the Department envision would require digital signatures?

Q 194: Does NYS DOH have a specific key management system to perform C.1.12.6 that we will need to interface with, or are we responsible for key management ourselves?

A: An interface to the HCS system will handle the token authentication of users to establish user identity.

NYS DOH does not have a digital rights management infrastructure. The vendor is *not* required to provide a PKI implementation as part of the proposed solution.

The term “digital signature” as used in the RFP means accepted or attested to by an authenticated user with appropriate authority.

Q 195: Regarding dual factor identification for access to the EDRS system, will all users, including physicians be required to use an RSA ID for access to the system?

A: All users will be required to use dual-factor authentication technology to access the solution. DOH presently implements dual factor authentication through the use of RSA SecurID tokens, but may elect to use a different technology for dual factor authentication.

Q 196: Will RSA tokens be given to all 60000+ users?

A: NYS DOH will provide dual-factor authentication that is compliant with the TCR Level 3 remote access requirements expressed in Section 4.1 of the New York State Trust Model G07-001. The New York State Trust Model G07-001 is available at <http://www.oft.state.ny.us/Policy/G07-001/G07-001.pdf> and was included in the RFP as Attachment 27.

Q 197: Who will be responsible for administering RSA accounts?

A: NYS DOH will administer all dual-factor authentication accounts.

Q 198: Is the unique ID service used by other applications (birth, marriage)?

A: Yes.

Q 199: Should the IVV consider login, authentication, and secure access to the environments out of scope for this initiative?

A: While the IVV is not required to verify the capabilities of the selected authentication technology, they *are* required to ensure the security requirements around login, authentication, and access to environments is as specified and required in the RFP.

G Documentation / Training / Support

G.1 Documentation and Online Help

Q 200: Section C.1.3.2 #8, Page 14: Please define the timeframe in which "any and all" documentation and training material "issues" will be defined? We are seeking a prescribed timeframe that is agreeable to both parties.

A: Per section C.2.6 Documentation and Training Materials Test Plan and Testing, the IVV is required to conduct an inspection of documentation and training materials and present issues to the development vendor in response to that inspection. The timing of the inspection is dependent on the development vendor's anticipated delivery of the items. The specific timeframe of the reporting of issues will be determined at the start of the project and would include input from all affected parties.

Q 201: Is the vendor responsible for creating the content for online help, or only the mechanism to retrieve and display the on-line help?

A: See section C.1.4 Documentation and Requirements, number 2 on page 15: The development vendor is required to deliver complete end user manuals and context-sensitive online help.

The development vendor is responsible for developing the content of the online help and also the mechanism by which it is delivered to users.

G.2 Training

Q 202: The RFP states that the vendor is responsible for the training of user for the Beta and Pilots phases. In addition, it states that there will be a minimum of 65 instructor led (1300 people) for the Pilot. Does this include training for the Beta testing users, or are there additional training requirements?

A: See section C.1.14 Beta and User Acceptance Program Requirements, number 6 on page 64: The vendor is required to conduct interactive web-based training sessions (WebEx's or webinars) for beta program participants prior to the start of the beta program. NYS DOH anticipates approximately 100 beta program participants.

Q 203: Page 68 Section C.1.15.5 Numbers 3: Is the vendor or the DOH responsible for on-site training at the three (3) counties?

Q 204: "Section C.1.15.5, paragraph 3, Page 68: Will NYS DOH provide web connections and equipment, or is that the responsibility of the vendor? If NYS DOH does provide connectivity, what type of connectivity is available?"

Q 205: Page 69 Section C.1.15.5 Numbers 5: Please clarify "training materials and equipment". Is it expected that the trainees will be receiving "hands-on" training? If so, is the vendor expected to provide computers and internet access for training purposes?

Q 206: Page 7, C.1.1.2 #8: Will all the training conducted at a single location or the vendor is expected to conduct training at multiple locations? If multiple locations (counties, hospitals and other), please provide the estimated number of locations.

Q 207: Where will the training sessions be held?

Q 208: Is pilot training done solely via train the trainer? (C.1.1.2.8) Other sections say the vendor will provide 65 trains sessions with an optional 75 additional sessions. Since the development vendor will lead these sessions, what is the role of "train the trainer"?

Q 209: Please clarify whether there are plans to have 'interactive web based' training sessions? If yes, will NYS DOH provide the infrastructure and facilities for this, or will the development vendor need to arrange this?

Q 210: Regarding the WebEx's — is NYS DOH going to make arrangements for and pay for the WebEx's or should this be included as a cost by the vendor?

A: See section C.1.15.5 External Pilot Users, number 4 on page 68: The vendor is required to plan, oversee, and conduct a minimum of 65 instructor-led training sessions.

See section C.1.15.5 External Pilot Users, number 5 on page 68: The vendor is responsible for identifying training facilities convenient for potential trainees, and for providing all required training materials and equipment.

See section C.1.15.5 External Pilot Users, number 6 on page 69: The vendor is

responsible for making all self-paced, web-based training material available to users prior to the start of the pilot implementation.

All training costs associated with achievement of the requirements specified in the RFP must be included in your proposals.

Q 211: Section NA, Page GQ: Can you specify the number of train-the-trainer classes that will be required to train select NYS DOH staff?

Q 212: Section C.1.15.4, paragraph 5, Page 68: How many staff members are employed at Vital Records and will require training?

A: NYS DOH anticipates approximately 10 NYS DOH staff to be included in train-the-trainer class(es).

NYS DOH anticipates approximately 30 NYS DOH staff to be included in user training class(es).

Q 213: Please further define "training session" - amount of days, amount of staff, location expected.

A: For the beta program, see section C.1.14 Beta and User Acceptance Program Requirements, number 6 on page 64: The vendor is required to conduct interactive web-based training sessions (WebEx's or webinars) for beta program participants prior to the start of the beta program. NYS DOH anticipates approximately 100 beta program participants.

For the pilot program, see section C.1.15.5 External Pilot Users, number 4 on page 68: The vendor is required to plan, oversee, and conduct a minimum of 65 instructor-led training sessions, achieving a maximum of 1,300 people trained. The breakdown of users to be trained is: minimum of 10 training sessions for funeral homes (and associated funeral directors and staff); maximum of 200 people trained; minimum of 7 training sessions for local registrars; maximum of 140 people trained; minimum of 40 training sessions for hospitals (and associated physicians and medical staff) [the expectation is two training sessions per hospital]; maximum of 800 people trained; minimum of 8 training sessions for adult care facilities, nursing homes, and hospices (and associated medical certifier staff); maximum of 160 people trained.

Q 214: In what cost milestone should the 65 training sessions be calculated?

A: Interactive web-based training will occur during the beta and user acceptance test iteration(s). Instructor led training will occur during the pilot phase of the project.

Q 215: What exceptions do you have on the training of system administrators and developers?

A: See section C.1.1.2 Project Scope, page 7, number 9: The development vendor is required to define and execute a knowledge transfer plan for transitioning EDR solution knowledge to staff identified by NYS DOH. The plan must include walk-throughs with NYS DOH staff of the fully configured system installed in the production environment. The plan must include all aspects of system and user administration, roles and responsibilities, software installation, configuration, troubleshooting and the development of a backup and disaster recovery strategy. The plan must include code reviews and identify a software release strategy for how future software releases will be managed after the initial “final candidate” has been placed into production. The plan will be subject to NYS DOH’s approval and satisfaction.

Q 216: Section C.1.4, C.1.5, Page 15: Does NYS DOH have a preferred software tool to create the online training material? Would Author-it or Madcap Flare be acceptable tools?

Q 217: "Section C.1.5; paragraph 3, Page 16: Does NYS DOH have preferred software for development of these materials? Should these materials be interactive?"

A: NYS DOH does not have a preferred training development tool.

Q 218: Section C.1.5; paragraph 2, Page 16: Should webinars be demonstration/presentation style, or will interactive hands-on training be required?

A: By “interactive web-based training” NYS DOH does *not* mean to imply that WebEx’s or webinars must include direct access to and use of a test or training version of the system; however, NYS DOH does not restrict this possibility. For specific information, refer to the training requirements specified in section C.1.14 Beta and User Acceptance Program Requirements and C.1.15 Pilot Implementation Requirements.

Q 219: "Section C.1.15.3; paragraph 7, Page 66: Is train-the-trainer training for knowledge transfer exclusively, or is there an expectation that training techniques be taught? How many NYS DOH staff members are expected to participate in this training?"

A: NYS DOH does not require “training techniques” to be taught.

NYS DOH anticipates approximately 10 NYS DOH staff to be included in train-the-trainer class(es).

Q 220: "Section C.1.15.5, paragraph 5, Page 68-69: Will NYS DOH provide lists of and contacts for available NYS owned training facilities?"

Security: will NYS DOH require dedicated computers for this project, or may the vendor use equipment that has been set up to access the EDR training environment to train other clients on other programs?"

A: NYS DOH does not have a list of available state-owned training facilities.

See section C.1.15.5 External Pilot Users, number 5 on page 68: The vendor is responsible for identifying training facilities convenient for potential trainees, and for providing all required training materials and equipment.

Q 221: "Section C.1.13.10 , paragraph 1 / C.1.15.5, paragraph 4, Page 62: Should this training be presentation-style with demonstration only, or hands-on with individual computers for each participant?"

A: The instructor-led training sessions must be hands on with individual computers for each participant.

The additional 75 instructor-led training sessions must equal those described in section C.1.15.5 External Pilot Users.

Q 222: Section C.1.5, Page 15: If NYS DOH chooses to oversee rather than conduct training, in order to facilitate pricing can NYS DOH estimate the additional number of instructor led training classes required?

A: See sections C.1.14 Beta and User Acceptance Program Requirements and C.1.15 Pilot Implementation Requirements for specific training requirements. See section C.1.13.10 Training Sessions Beyond Pilot Implementation Training Requirements for additional training session requirements.

H Beta and Pilot Programs

H.1 Beta

Q 223: Will all system interfaces be considered as part of the beta evaluation? For example, will feeds be sent to other jurisdictions?

A: While not explicitly required, given that the Final Candidate Cycle immediately follows the beta and user acceptance period, NYS DOH *highly recommends* that the beta and user acceptance period be viewed as a field test of a *completed* system.

Q 224: “We don’t want to be in beta for a year”; with iterative development cycles reviewed and approved, what do you see as risks to an extended beta program beyond that defined in the RFP?

A: NYS DOH’s concern with an extended beta period, beyond that specified in the RFP, is the risk of extending the overall timeframe of the project and incurring additional costs.

H.2 Pilot

Q 225: During the pilot, the other 54 counties will remain paper-only? (C.1.15) Will data for those counties be entered into EDR?

A: Yes. See section C.1.13.7.2 Data Collection of Personal Information from Paper Records on page 53: The process will be augmented at the point where the electronic records are received from the data entry organization. Instead of being loaded into the old repository (the master death file), NYS DOH will load these records into the EDR repository.

Q 226: C.2.1.1 #5 “The IVV vendor may be required to re-verify and re-validate, extend test planning, or conduct other quality-related activities on a time and materials basis during the pilot implementation.”

Does DOH expect that the cost for these extensions or additional activities would be submitted via a change order based on the hourly rates provided in the proposal?

A: Yes.

Q 227: Section GQ, Page : For the 3 Counties that will be part of **beta** and **pilot** will all users (VRS, funeral directors, hospitals, etc) of the identified Counties be involved or will it be a select group of stakeholders from these Counties? Please provide an estimated number for these individuals by stakeholder group?

A: See section C.1.14 Beta and User Acceptance Program Requirements, number 6 on page 64: The vendor is required to conduct interactive web-based training sessions (WebEx’s or webinars) for beta program participants prior to the start of the beta program. NYS DOH anticipates approximately 100 beta program participants.

C.1.15.1 Pilot Objectives, number 2 on page 65: To prove system viability and readiness for broad state-wide use by conducting pilot implementation activities in three (3) counties over a six month period, and proving the EDR solution is secure, sustainable, and supportable prior to full state-wide use.

The Pilot program is a live implementation for three counties and includes all participants in those counties. NYS DOH does not have specific numbers of users for the Pilot at this time, but has provided demographic information per county to assist vendors in understanding possible scenarios.

See section C.1.15.5 External Pilot Users and Attachment 24 EDRS NYS Implementation Demographics.xls for more information.

Q 228: Section C.1.14; #9, Page 64: Does NYS DOH have a Help Desk Tool that they would like us to utilize as part of this requirement? Would they like us to propose a tool that can be used during beta, pilot, on-going?

A: NYS DOH does not have a preferred tool and expects the vendor to propose a tool appropriate and adequate to meet the requirement.

Q 229: Is there enough DOH back office resource available during the Pilot (can they do regular work & new work)?

A: Yes.

Q 230: For the pilot, how are you addressing desktop computing and internet access for the funeral directors, physicians, etc?
Do they have this now?
Have minimum requirements been established?
Who provides their hardware support?

A: All users will be required to provide their own hardware and internet access.

I Quality Assurance and Testing

I.1 Quality Goals and Testing

Q 231: On page 13 of the RFP C.1.3.2 states development vendor must ensure the solution achieves quality goals set by NYS DOH. The IVV and NYS DOH will be working together to define quality goals. What approach should a vendor take to price what it takes to meet undefined goals, with respect to the fact this is a fixed price contract.

A: See section C.1.3.2 Software Quality Requirements for software quality requirements.

NYS DOH *highly recommends* that development vendors read and understand section C.2 Electronic Death Registration Independent Verification and Validation to ensure a clear understanding of how NYS DOH will arrive at quality goals per iteration and final candidate cycle.

Sections of particular interest include, but are not limited to:

C.2.4 Test Planning

C.2.5 Ease of Use Testing

C.2.6 Documentation and Training Materials Test Plan and Testing
C.2.7 Iterative and Final Candidate Validation
C.2.9 Risk Assessment Reporting

Q 232: All iterations and the Final Candidate are required to meet the specified quality goals. Will the quality goals be defined and delivered to the development vendor prior to the start of the 1st iteration?

Q 233: Section C.1.1.4; #3, Page 9: Please define what the quality goals are associated with the specific penalties. Will these goals be specific, measurable, and objective? Will these quality goals be defined before a contract is executed?

A: The quality goals, beyond those specified in the RFP, will be refined at the start of the project, and per iteration.

The first iteration will emphasize project planning and deliverables per subsequent iterations. Some project level quality goals may be defined during the first iteration; final quality goals will be defined per iteration, or earlier when possible.

Quality goals will be clear and measurable, and will be delivered to the development vendor per iteration to ensure their ability to deliver a verifiably high quality solution.

Q 234: Is there any integration between the testing performed by the development vendor and the IVV vendor?

A: Yes. See sections C.2.7.1 Iterative Milestone Validation and C.2.7.2 Final Candidate Validation for more information.

Q 235: Will a Corrective Action (CA) Plan be required as part of the Testing and Validation process?

A: NYS DOH is not aware of a “Corrective Action Plan” as one of its identified project artifacts. However, NYS DOH has placed no restriction on vendors making use of additional tools, processes, or documents that help facilitate effective communication and coordination within the project. See section C.2.3 Software Asset Management Requirements on page 78 for software asset management requirements.

Q 236: Will the IVV Vendor provide any QA on Help Desk support from the Developer?

A: NYS DOH has no requirements for the IVV to verify the quality of help desk support provided by the development vendor.

Q 237: Section C.1.3.2; paragraph 8, Page 14: Does NYS DOH require that documentation and training materials issues be documented in test management software?

A: NYS DOH requires documentation and training issues identified during IVV verification and validation activities to be managed as valid incidents requiring correction, and that they be tracked using the specified tools for incident management (i.e. bug tracking).

Q 238: There is mention that the development vendor must supply a security plan and system design with their proposal. Will the IVV vendor be required to review and assess the “final” version of the security plan and the security of the overall system design before the development iterations begin?

A: All security-related matters will be reviewed by all parties in conjunction with the NYS DOH Chief Information Security Officer.

Q 239: Definition of detailed test plans; are these test scripts or test scenarios?

Q 240: Does this (test plans/scripts per preceding question) include system performance test cases that have to be run by the IVV?

A: NYS DOH anticipates detailed test plans to consist of a combination of plans, cases, scenarios, scripts, automation code, or other items or activities relevant and appropriate to the deliverables of any given iteration.

This also applies to system performance test planning.

Q 241: Do you expect that all regression testing will be automated?

A: See section C.1.3.2 Software Quality Requirements, number 2 on page 14: The development vendor is required to create test automation; at least 50% of all tests per iteration must be automated, maintaining a reasonable balance of graphical user interface (GUI) and other automation with highest value.

Q 242: Do you expect that white box testing will cover 100% of the developed software?

A: NYS DOH does not require code coverage analysis of testing coverage of the developed software; however, NYS DOH does not restrict this practice.

Q 243: Do you expect 100% regression testing from cycle to cycle?

A: No. The specific expectations for regression testing per iteration will be established at the start of the project.

Q 244: Iteration test execution: please clarify that the IVV vendor does not run the tests, only verifies they have been run.

A: See section C.2.7.1 Iterative Milestone Validation, number 1 on page 84: Independently running all software reliability tests (automated and manual) and logging results as prescribed for the iterative milestone. See section C.2.7.2 Final Candidate Validation, number 1 on page 85: Independently running all software reliability tests and logging results.

Q 245: Will the IVV vendor be permitted to include ad-hoc test scripts as part of the required test scripts that determine whether or not the system development passes?

A: While NYS DOH is not restricting the IVV from conducting ad-hoc testing—testing that is *not* included in the test plan and goal for an iteration or the final candidate—the results of such testing may not be used as the basis for rejecting an iterative or final candidate deliverable.

NYS DOH requires the IVV to ensure an organized, thorough approach to test planning and design per iteration, and will view extensive adhoc testing in any given iteration or the final candidate cycle as a failure to meet this requirement.

I.2 Ease of Use Testing

Q 246: Section C.1.3.2; #7, Page 14: Please define how the scope of this project is to be defined that would enable both the State and the Contractor to develop a reasonable contract? Specifically, please explain why the statement on page 14 that "works as designed" is not a valid reason for meeting a contractual requirement? On projects of this magnitude, there needs to be check-point agreements between the client and the contractor that both parties can agree on/define the scope of what is to be built. The way this is currently stated, the vendor is potentially subjected to an unlimited level of scope.

A: The IVV will conduct usability testing on the solution, and will report identified issues that must be resolved. Usability testing will be limited per an agreed-upon test plan and will be finite in scope.

It is not NYS DOH's intention to hold the development vendor to "an unlimited level of scope" but rather to ensure that identified issues are, in fact, resolved.

Identified issues must be resolved in order to achieve the stated quality goals. NYS DOH understands that "works as designed" is not a valid resolution to an identified issue.

Q 247: IV&V, page 2, section A.1 & A.2 The RFP states the “competitive procurement, which will result in fixed price contracts.” The 3rd bullet of RFP Section A.1 states “understanding field use (may include field user observation).” If DOH elects to require field user observation, can the bidder assume the field observations will be done in Albany? If not, will a change order be issued to cover the travel expense?

A: If field user observations are elected by NYS DOH and the selected vendor, they will be conducted in the Capital District (Albany, Rensselaer, and Schenectady counties).

Q 248: The RFP requires the IVV vendor to define the time and participation required for State resources to participate in IVV project tasks. This question is specific to State participation in ease of use testing but may be applicable to iterative, final candidate, user acceptance and pilot testing.

a. Are there any practical limits to the amount or type of State resources available for these activities?

b. Is there a definition of consensus or agreement that “ease of use” has been achieved and with what communities must this consensus or agreement must be reached? Has the State defined the community empowered to declare “ease of use” has been achieved?

c. Further to Question 3 is it the State’s intention for these communities to participate in the testing activities of the development vendor, and the IVV vendor to insure the result is independently validated? This may be particularly required in more subjective areas like the “ease of use” testing.

A: a. Yes. Vendors should not anticipate extensive NYS DOH personnel resource availability to achieve requirements defined in the RFP.

b. Ease of use will be declared by the IVV, per the IVV’s ease of use test plan and testing. The IVV ease of use test plan will be finalized collaboratively between NYS DOH and the IVV.

c. Users will not be involved in the testing activities of the development vendor. NYS DOH anticipates user input into the design and usability of the system. This input would be directed to the Development vendor. NYS DOH anticipates, per section C.2.5, that the IVV vendor will conduct an independent usability examination of the system, reporting issues to the development vendor, and verifying correction of identified issues.

Q 249: Page 17: What specific definitions define “ease of use”? Who defines ease of use, which is a subjective viewpoint (e.g. one person’s idea of ease of use is not the same as another’s definition)? Example, the TAB key should skip a columnar field versus not skipping a columnar field.

A: Please refer to section C.2.5 Ease of Use Testing, notes: NYS DOH understands that “ease of use” is a subjective assessment and recognizes the possibility that conflicts of opinion may arise during ease of use testing. NYS DOH expects that an IVV vendor associate evaluating the system for ease of use will be an acceptable representation of a “reasonable user” and will reliably represent field user opinion.

I.3 System Performance Testing

Q 250: If the IVV vendor already owns the necessary performance software, must they still rely on the development vendor and observe or may they conduct performance tests independently?

A: While NYS DOH is not restricting the IVV from conducting an independent audit or analysis of system performance, NYS DOH requires that system performance be a collaborative effort with the development vendor due to the nature and number of variables involved in system performance testing.

J Payments and Penalties

J.1 Payments

Q 251: The RFP specifies a 25% hold back for certain deliverables. Will DOH consider an alternate cost proposal with lower hold back amount (e.g. 10%) and a reduced timeframe?

A: NYS DOH will consider a reduced timeframe, with input and agreement from each selected vendor.

NYS DOH will *not* consider a lower holdback amount.

Q 252: Payment Schedule E.7.1 p 114: If the development vendor is paid per iteration, would the state consider paying change orders per iteration?

A: No.

Q 253: Explain implications for payment schedule as regards the cost proposal form.

A: In section E.7.1 Development Vendor Payment Schedule, items in the left column of the table correspond to the items in 1: Solution Costs — Solution Deliverable Milestones of the development vendor's cost proposal form.

In section E.7.2 Independent Verification and Validation Vendor Payment Schedule, items in the left column of the table correspond to the items in 1: IVV Deliverable Costs — State Mandated Milestones Deliverables of the IVV vendor's cost proposal form.

Further explanation of the distribution of payment is described in the above-mentioned sections of the RFP.

J.2 Payment Penalties

Q 254: Page 76, Section C.2.1.4 Development Lifecycle: What is the planned course of action if the IV&V vendor recommends acceptance of a deliverable from the developer but it is rejected by DOH. Will IV&V fees be reduced? Does this apply to each iteration?

A: See section E.7.2 Independent Verification and Validation Vendor Payment Schedule, number 1b, page 118: The final payment to the IVV vendor will be reduced by 5% of the total amount of this deliverable (1.a and 1.b in this payment schedule, per the line titled “Iterative and Final Candidate V&V Testing” in the EDRS Cost Proposal Form.xls) each time the final candidate does not meet the requirements, per NYS DOH inspection. Payment reductions will not be assessed beyond rejection of two final candidates.

Q 255: E.7.1 states that “Unacceptable content may result in no payment.” When will the acceptance process and criteria be defined and what constitutes “unacceptable content”?

A: See section C.2.7.2 Final Candidate Validation for final candidate acceptance criteria. See section C.2.9 Risk Assessment Reporting for clarification of unacceptable content.

Specific quality criteria will be established per iteration.

Q 256: Explain the 5% payment reduction identified on the last slide. 5% of what?

Q 257: Regarding the payment reduction: is the IVV vendor reduction equal to 5% of the total development cost as bid by the winning development vendor?

Q 258: What is the 5% penalty on the final candidate based on?

A: For development vendors, payment reduction for a rejected final candidate will be 5% of item 1: Solution Costs — Solution Deliverable Milestones of the development vendor’s cost proposal form. In section E.7.1 Development Vendor Payment Schedule, this is represented as deliverables 1.a and 1.b.

For IVV vendors, payment reduction for a final candidate that is rejected by NYS DOH will be 5% of item 1: IVV Deliverable Costs — State Mandated Milestones Deliverables of the IVV vendor’s cost proposal form. In section E.7.2 Independent Verification and Validation Vendor Payment Schedule, this is represented as deliverables 1.a and 1.b

J.3 Change Orders

Q 259: Page 104, Section D.2.1.4 Cost Proposal Form: Cost proposal is based on deliverables. If the scope of the deliverable increases or decreases, how will it be handled? By change order?

A: Yes.

Q 260: Both, page 118, section E.7.2.3 Please clarify when changes will be paid, i.e. will the change order be paid as part of the new project schedule or upon final candidate approval by DOH.

A: See section E.7.1 Development Vendor Payment Schedule, number 5: Approved change orders will be paid in full upon final candidate approval by NYS DOH, or upon acceptance of the system at the conclusion of the pilot implementation phase of the project.

See section E.7.2 Independent Verification and Validation Vendor Payment Schedule, number 3: Approved change orders will be paid in full upon final candidate approval by NYS DOH, or upon acceptance of the system at the conclusion of the pilot implementation phase of the project.

Q 261: IV&V, page 15, section C.1.1.5 The RFP acknowledges that accepted change orders will have an impact on the IV&V vendor in terms of quality goals and test planning, but does not describe the process by which the resulting impact to the IV&V vendor's staffing and pricing are to be addressed. Would the IV&V follow a process similar to the Developer and submit a separate statement of work with its fixed pricing or is another process anticipated?

A: Yes. See section C.2.1.5 Change Orders for more information.

Q 262: If the development vendor receives a change order, will the IVV have an opportunity to assess the impact and generate their own change order?

A: Yes. All change orders that occur within the project will include input from and representation of all parties.

Q 263: Please clarify whether or not change orders are coming out of the bidder's budget (out of the vendor's submitted bid)?

A: The cost of change orders is accounted for in the process. Vendors do not need to accommodate a change order amount in their bids.

Q 264: Section C.1.8.2 Warranty, Page 19: The definition of items covered during the Warranty period is very clear. However, it implies in sub-bullet 3 that additional requirements can be brought forward by DOH during the Pilot Phase of the project. Please confirm that it is not your intent to allow new requirements to be identified at the end of the project. This is in direct conflict with standard PMBOK project management guidelines.

A: It is not NYS DOH's intent to identify new requirements at the end of the project. However, should circumstances change such that the business or operational needs of the department would not be sufficiently served with the solution as implemented at that time, NYS DOH reserves the right to initiate changes per the agreed-upon change order process.

K Technology Infrastructure

K.1 Hardware for Environments

Q 265: Will the DoH provide all software and hardware required for development, testing and production for the project? Or is the vendor required to include this cost in their proposal? In either case, is a full infrastructure configuration required to be proposed as part of the proposal?

Q 266: Page 63 Section C.1.14 Numbers 2: Will DOH be providing the hardware for testing and training for the IVV, DOH staff, etc.

Q 267: Does NYS require the vendor to bid, specify, and/or procure any hardware, software, and/or other environments for NYS in any other phase of the project lifecycle (e.g. testing or training)?

Q 268: Will NYS procure development and test environment hardware or is this the vendor's responsibility to provide?

Q 269: Will DOH purchase new hardware for the EDRS system, or use existing hardware? Is DOH seeking advice and assistance with the hardware configuration and/or hardware acquisition for this system?

Q 270: "Section C.1.2; Note:, Page 11: Can you please clarify what the intent of the Department is as it relates to this requirement? Would the Department prefer:

a) that the vendor purchase all of the hardware and software that is necessary for the development and ""testing/training"" environment (specified on page 18, Section C.1.7.2), provide workspace for the project team off-site, and then retain ownership of said hardware and software,

b) that the vendor purchase all hardware and software that is necessary for the development and ""testing/training"" environment (specified on page 18, Section C.1.7.2), provide workspace for the project team off-site, and then the Department would own all of the hardware and software following production (in which case would the

vendor then have to purchase HW & SW again for maintenance),

c) that the vendor purchase all hardware and software that is necessary for the development and ""testing/training"" environment (specified on page 18, Section C.1.7.2), and the Department will provide workspace for the project team, and then the Department would own all of the hardware and software following production?

d) Does DOH consider the development licenses as those that will transferred to DOH at the conclusion of the project."

A: NYS DOH has the server hardware to support a development, evaluation/testing, environment (iterative verification and validation), a training environment, beta/user acceptance environment, and pilot/live environment.

NYS DOH will *not* provide hardware (i.e. client PCs) necessary to achieve the training requirements.

Point releases will be deployed during the project to the NYS DOH development and evaluation environment on a schedule to be determined by NYS DOH and the IVV.

See Amendment 2 for clarification of project team logistics, network access, and resulting computer workstation requirements.

Q 271: What are the production server specifications? (C.1.8)

Q 272: Will the production EDRS system have dedicated hardware, or will it share hardware with other systems?

A: The application will be provided with dedicated application server and database instances running on shared hardware.

See Amendment 2 for clarification of project team logistics, network access, and resulting computer workstation requirements.

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

Q 273: Page 16: Can our development environment be non-Sun Solaris based hardware and software (e.g. Windows with BEA Weblogic)?

A: See Amendment 2 for clarification of project team logistics, network access, and resulting computer workstation requirements.

The vendor is required to resolve any and all interoperability or portability issues. (e.g. "Java code works on Windows, doesn't work on Sun Solaris; it's a Java/Sun VM issue" becomes your issue to resolve with Sun. e.g. "The application works properly in Weblogic in Windows but does not work properly in Weblogic on Sun Solaris; it's a BEA issue" becomes your issue to resolve with BEA.)

Q 274: (C.1.6) Does the stated Sun Solaris configuration imply that NYS already has the hardware, software, and environment needed to run the production application? Does NYS also have hardware/software environment for the beta and pilot phases?

Though, it is understood that the vendor will need to provide their own Rational licenses for development and the vendor's designs will call out interactions with the above, we just want to make confirm that overall hardware, software, and environment procurement is not part of the project.

A: Vendors cannot assume that NYS DOH presently has the hardware, software, or environment to run the beta, pilot, or production applications.

See Amendment 2 for clarification of project team logistics, network access, and resulting computer workstation requirements.

K.2 Configuration and Maintenance of Environments

Q 275: Page 6, C.1.1.2 #5: Is vendor expected to setup and configure any additional environments such as Testing and Staging/Pre-Prod?

Q 276: Section C.1.3.12 - Does NYS intend to configure all aspects of the production environment (including but not limited to roles, user profiles, death certificate reference data)?

Q 277: Section C.1.1.2 7 – Does this mean that the vendor is required to maintain only the test and training environments but not the production environment?

Q 278: Are the current development and testing environment configured to support multiple concurrent development and test cycles?

Q 279: Please provide details on DOH's current environments - dev, SIT, UAT, etc., and also on deployment procedures and associated timelines?

Q 280: Will the department support separate platforms for iterative software, testing, beta, QA, etc.?

Q 281: NYS DOH has mentioned the requirement for support in setting up environments for the EDRS system. Will DOH require the development vendor's system administrator(s) to set up the environments, including production, or will the vendor's system administrator(s) need to support DOH system administrators in setting up the environments? Please also provide the number of environments (including DEV, SIT, UAT, Pseudo, Prod, etc.), and specifically clarify access to and procedures for setting up the production environment.

Q 282: C.2.7 **Iterative and Final Candidate Validation** states that the “Iterative and final candidate validation efforts must take place on NYS DOH premises, using NYS DOH equipment in a NYS DOH approved production-ready or test environment.” Is the setup of this environment the responsibility of the development vendor?

Q 283: On Page 6, New York State’s production environment is referenced as the installation location. Is that for the pilot or just the final operational system, and where can technical information on the NYS production environment be found?

A: The pilot will be conducted from the live production environment.

See Amendment 2 for clarification of configuration of environments requirements.

Q 284: Page 24 Section C.1.10.3 Numbers 11: Is the DOH expecting the vendor will be responsible for the web server configuration?

Q 285: Will the EDRS system have a dedicated WebLogic Server installation, or will it share it with other J2EE applications?

Q 286: DOH has mentioned that it currently uses WebLogic Application Server technology. What Web Server is DOH using?

A: The application will be provided with a dedicated application server instance running on shared hardware.

See Amendment 2 for clarification of production server hardware and configuration of environments requirements.

Q 287: Section C.1.11.1, Page 27: Please provide clarification as to the data sets that this refers to? "All data sets" is very vague. How many data sets are there? What is the record structure of each data set? What technology does the data set exist in (e.g., Oracle DB, Access DB, Excel, paper, etc)? What is the size (in records) of each data set?

A: Data dictionaries for Permanent Facility Identifiers, New York State Gazetteers, Physician License Numbers, Vital Records Statistical and Demographic Codes, NCHS codes, and others as applicable will be provided at the start of the project. Further details about the record set formats are not available at this time.

Q 288: (C.1.9) The RFP states that the application must be guaranteed to be available “24 x 7 x 365”. Does NYS already provide solution hosting to this standard of availability and would the vendor be given access to the appropriate NYS resources in order to ensure that the NYS environment could be configured and monitored to provide this level of service?

A: NYS DOH already provides solution hosting to the specified level of availability. The selected vendor will have access to the appropriate NYS DOH resources to ensure configuration of the environment. The application must be capable of running without stoppage.

Q 289: Over a 2 year period, there will most likely be new versions, patches, and updates to core components of the technology requirements (e.g. oracle database). Will the IVV be responsible for re-testing for verification following any such type events?

A: Upgrades to technology will be included within iterations as necessary and appropriate. A regression test strategy will be determined prior to the iteration in which the upgraded technology will be deployed.

K.3 Hosting and Hosting Location

Q 290: Section C.1.9 Integration... item 2 page 20 states: "NYS DOH requires that the database and application be hosted together." is in direct conflict with requirement C.1.10.3 item #6 page 24 which states: "Application data is not to be stored directly on the web server; any data collected on the web server should be immediately written to a back-end database on a different host." Which way is the correct way? Hosted together or separately?

A: The application must run in NYS DOH's IT environment. The application and the database must be separated within that environment in accordance with NYS DOH's architecture and security requirements.

Q 291: Where will servers be located? What level of access will be provided for these servers? (C.1.8)

A: Servers will be located in NYS DOH's IT environment. Vendors will have access appropriate for development, testing, and configuration and maintenance of the specified environments.

Q 292: Will DOH IT resource be available as needed by the development group?

A: Yes. Appropriate staff will be available during normal business hours and as agreed to with NYS DOH when the contract is awarded.

K.4 DOH Information Technology Environment

Q 293: (C.1.10.3) While application developers “will not have any direct access to the host that is running the web server”, is it permitted for the proposed solution to contain automated processes to run outside the scope of the web server and those processes would be deployed as part of the overall solution? It’s expected that this will be needed for external interfaces or anything else of an asynchronous / non-real-time nature.

A: Such external processes are permitted, but will be subject to NYS DOH review and approval prior to deployment.

Q 294: Can you confirm that the EDRS will not have integration with the birth registration or customer service systems?

A: Confirmed.

Q 295: Has a network architecture been completed? (C.1.8)

A: The application will be available via the internet and the architecture will be implemented as described in the RFP.
See Amendment 2 for clarification of NYS DOH network architecture.

Q 296: Both, page 51, section C.1.13.7 Bullet 1 Is the FileNet P8 repository operational? If not please provide a timeline when the repository will be available.

A: NYS DOH anticipates that the FileNet P8 central database repository will be operational in March, 2009, pending hardware procurement.

Q 297: Does DOH own a 'document/report generation" infrastructure that is capable of generating PDF files? If yes, what product(s) support that capability? If yes, would DOH like this infrastructure to be used for the EDR permits, etc.? Is this infrastructure considered a part of the standard software environment? (RFP Reference Section C.1.12.11 Print Permits)

Q 298: Should the documents generated by EDRS (e.g. disposition permits, certified/non-certified copies) be generated once and stored and reproduced whenever required, or generated on demand?

A: Documents generated by the solution must be stored (e.g. as .pdf file) and available for reprinting as necessary. NYS DOH does not “own a ‘document/report generation’ infrastructure that is capable of generating PDF files,” however NYS DOH is aware that such capabilities are available in the general marketplace and is open to such capabilities being incorporated into a proposed solution.

Q 299: What is the software platform (referred to in the RFP in RFP Section C.1.13.7.5 as the ‘legacy central repository’) for the Master Death File?

A: See Amendment 2 for clarification of location of project staff requirements.

There is no longer a requirement to write directly to the NYS DOH Master Death File.

Q 300: Please provide details on DOH's current integration infrastructure and environment.

A: The environment includes a service bus to mediate communication between the applications.

K.5 Remote Access to DOH Servers

Q 301: What access will the vendor have from remote locations to NYS environments?

Q 302: Section C.1.1.2 7 - Is it NYS DOH’s intent to allow the EDR Vendor physical or remote access to the assumedly secure location housing the EDR software for the purposes of “software installation, configuration, backup, and any other maintenance procedures to ensure production viability?”

Q 303: Is it NYS DOH’s intent to allow the EDR vendor physical or remote access to the location housing the EDR software?

A: Vendor staff may request remote access to the development environment; physical access will be allowed as needed during normal business hours.

See Amendment 2 for clarification of location of project staff requirements.

K.6 Backup and Maintenance

Q 304: Regarding the backup and maintenance procedures: b) Does the Department intend that the vendor will be responsible for full system backups, including database, application server, operating systems, etc.?

A: No. NYS DOH will be responsible for system backups.

Q 305: Regarding the backup and maintenance procedures: c) Should the vendor include the necessary hardware and software to support maintenance procedures and backup in their response to this RFP?

A: No.

Q 306: Regarding the backup and maintenance procedures: d) Does this requirement include emergency operations and support in the event of a problem?

Q 307: Regarding the backup and maintenance procedures: e) Does this requirement include disaster recovery, off-site or hot backup capabilities throughout the development lifecycle of the project as well as post-pilot?"

A: No. NYS DOH will handle backup and failover procedures. The vendor will be responsible for application maintenance as agreed to with NYS DOH.

Q 308: Will the EDRS solution leverage the backup and DR facilities provided by Health Commerce System (HCS)?

A: Yes.

K.7 Integration with Health Commerce System (HCS)

Q 309: Is DOH leveraging the OFT Enterprise Directory, or does DOH have a separate directory of its own?

Q 310: Is DOH leveraging the OFT IAM infrastructure?

Q 311: Does DOH currently have a Digital Rights Management infrastructure? Is this considered a part of the standard software environment? (RFP Reference Section C.1.12.11 Print Permits)

Q 312: Section , Page GQ: What User Directory system is used by the NYS DOH HCS?

Q 313: Is the Health Commerce System (HCS) SSO infrastructure built upon an IAM product, or is it custom built?

A: The HCS is custom-built infrastructure. The HCS uses a separate authentication system. We will be using the DOH directory that is part of the Health Commerce System. NYS DOH's single sign-on infrastructure is custom-built. The specific user directory system used by HCS is not considered pertinent to developing a response to this RFP; the application will use an interface to receive user information. NYS DOH does not have a digital rights management infrastructure; see section F.3 of this document for more information.

Q 314: Page 32 Section C.1.12.2 Numbers 8: It is stated that, "The EDR solution must provide the ability to create roles and configure access rights per role or per individual user within the EDR solution". Does this imply that the 'web based "reverse proxy" authentication service' does not support this level of granularity for applications thereby causing two levels of authentication for the EDRS use?

Q 315: Please provide more detailed specifications for HCS’s single sign-in and authentication. Are all the users, internal and external stored within the SSO solution?

A: The HCS system authenticates users and checks their authorization to access the application. The application itself is responsible for determining the user’s rights based upon the user’s credentials received from the interface with the HCS system.

As such, two levels of authentication are *not* required.

More specific details pertaining to the HCS and single sign-on will be provided at the start of the project.

Q 316: (C.1.13.3) Notifications – What technology is used for the notification facility within HCS and does the State already maintain the infrastructure, user base, support, and other concerns for this facility? Would the vendor be responsible for any aspect of the notification facility other than simply using it from within the EDRS?

Q 317: Please provide more detailed specification for HCS’s “notification facility”

Q 318: Page 47 Section C.1.13.3: Is it expected that the notification process will be a feature available only within the EDS Solution or make use of the HCS Notification Capabilities as explained in Attachment 22, thereby sending notifications to a user’s phone, pager, fax, or email?

Q 319: C.1.9 #4 Please provide more information about integrating to the HCS notification facility for user-to-user and automated system-to-user notifications. Is there an interface specification available for the HCS notification facility?

A: The NYS DOH is responsible for the notification system.

The application will leverage the notification process used by the HCS system. Users on the HCS system maintain their own contact information and choose how to receive their notifications. Notifications are sent by an application invoking an XML interface.

The HCS notification system supports email, fax and phone notifications via an XML interface used by the application.

More specific information pertaining the HCS notification facility will be made available at the start of the project.

Q 320: Page 32: What mechanisms exist to mediate a system component security conflict with the NYS DOH HCS application? In other words, it is our interpretation that the HCS is a NYS DOH-authored security application? If we develop the security component with COTS (Commercial Off-The-Shelf) products or recognized Open Source components, will we have debugging access to NYS DOH HCS engineers for resolution?

A: HCS is NYS DOH-authored. The application will receive the user's credentials via an HCS interface. The application can use Open Source tools to enforce the access rights the user's credentials convey.

The vendor will have access to NYS DOH staff for debugging assistance where there is interaction with HCS or its components.

Q 321: Is there another system for births, marriages, etc.? How will EDRS interact with this?

A: NYS DOH has an electronic birth registration system; NYS DOH does not have an electronic marriage certificate system. Interactions between these systems is not within the scope of this project.

K.8 NYS DOH Standard IT Technology

K.8.1 Standard IT Environment Technology

Q 322: Page 4, B.1 Primary Stakeholders: What software products are supported by NYS DOH standard IT environment technology for Reporting (e.g. Cognos, Crystal Reports)?

Q 323: Section C.1.8.3; #2, Page 19: Does the "standard IT environment technology" include a reporting tool? If so, please describe in detail the products that are included.

Q 324: Please provide a list of software considered to be infrastructure related?

Q 325: Section C.1.8.3 Software licensing item 2 the note page 19 states... "standard IT environment technology". What are ALL of the DOH technology standards? This knowledge allows us to not propose duplicate technology that already exists.

Q 326: Section C.1.8.3; #2, Page 19: Are the FileNet suite of products, including Content Manager, Business Process Manager considered to be part of the "standard IT environment technology"? If so, please list the products for which licenses will be available.

Q 327: Section C.1.8.3; #2, Page 19: Does the "standard IT environment technology" include a rules engine? If so, please describe in detail the products that are included.

Q 328: What middleware tools, products, and infrastructure does NYS DOH currently have?

Q 329: Will NYS DOH middleware tools, products and infrastructure be available for use with the planned NYS DOH EDRS system?

Q 330: Attachment 4 – Cost Proposal: For a solution that uses the State’s current technology platform – IBM FileNet, BEA WebLogic and Oracle. Is bidding vendor expected to include the software cost in the Cost proposal?

Q 331: In the presentation it was stated that vendors should not rely on DOH pre-existing software licenses. How about IBM FileNet licenses that vendors will need to implement the solution?

Do you need a separate quote for this?

A: The current enterprise-wide reporting tool is SAS. Within the HCS environment there are also applications which use Jasper reports, open source, or other custom reporting tools.

See Amendment 2 for clarification of location of project staff requirements.

K.8.2 SOA Related

Q 332: Please provide information on messaging, ESB (enterprise service bus) and process management tools and products that NYS DOH has.

Q 333: Section C.1.8.3; #2, Page 19: Does the "standard IT environment technology" include an enterprise service bus or similar technology to support a SOA? If so, please describe in detail the products that are included.

A: NYS DOH uses BEA AquaLogic Service Bus 2.5 as its enterprise service bus.

K.8.3 NYS DOH Technology Stack

Q 334: What is the current standard J2EE technology stack for NYS DOH? (C.1.8)

Q 335: Page 18 Section C.1.8.1: What version of Oracle is acceptable?

Q 336: 18, C.1.8.1: Can the State provide the details of its current FileNet system? a) FileNet Software, Modules and Version details b) Operating System c) Database Used d) Hardware Used

Q 337: Section A.2 page 2 states: "Document-centric, enterprise content management solutions that make use of the NYS DOH’s IBM FileNet enterprise content management system, including its content repository, business process and workflow management tools." In order to properly respond, should we assume your current standard is IBM FileNet P8, including Content Manager, Business Process Manager and the full P8 suite and the go forward direction for DOH? Section C.1.8.1 Technology considerations page 18 - is this the same statement as question #2.

A: See Amendment 2 for clarification of NYS DOH technology stack.

L Project Questions

L.1 Iterations, Schedule, Scope, and

Q 338: Are there any blackout periods or scheduling conflicts which the vendor needs to consider when building the project plan?

A: NYS DOH standard work day is between 8 a.m. and 5 p.m. Eastern Time. NYS DOH follows standard New York State holidays.

Q 339: The current iteration schedule proposed by the state does not seem to account for upfront project time to validate requirements, develop overarching user interface approach, technical design and development environment. Can the vendor adjust the iteration schedule and plan to account for this critical upfront time.

A: Yes. NYS DOH's intent is to emphasize these items during the first iteration, but understands that each iteration will also contain some portion of time for these items.

Q 340: Can "iterations" be non-development in nature (e.g. completion of end-user interviews, or completion of IVV reviews)

A: Yes. All iteration content is subject to NYS DOH approval and must include input from all selected vendors.

Q 341: The RFP specifies a 2 year period for system development. RFP Section C.1.1.4 states "NYS DOH expects a minimum of 10 iterations and a maximum of 17 iterations (roughly one iteration every 6 to 10 weeks) throughout the project lifecycle". Will DOH accept an alternate reduced timeframe with an alternate iteration plan?

A: NYS DOH may, at its discretion, accept an alternate reduced timeframe schedule with an alternate iteration plan. Such a proposed alternate planning will not be accepted without input from all selected vendors. All requirements specified in the RFP must be met.

Q 342: If the system provider decides to shorten the timeframe, will the IVV vendor be required to adjust accordingly or will they be involved in the overall decision?

A: The decision regarding the number and timing of iterations will be determined in conjunction with the development and IVV vendors.

Q 343: How can IVV bid fixed price if the number of iterations can be reduced by the development vendor?

A: IVV vendors should anticipate the number of iterations as specified in the RFP. If a reduced iteration schedule can be achieved, it will only be agreed to by the state with input and agreement by all selected vendors.

Q 344: What assumptions on the number of iterations should be used?

A: Vendors must refer to the number of iterations specified in the RFP.

Q 345: Attachment 17 "Project Scope Statement" - "(Describe what is out of scope)" does that mean what is the vendor's definition of "out-of-scope" or does that mean to list the requirements as set forth by the NYS EDRS RFP?

A: The intent is to identify what the vendor understands to be out of scope. For example: the vendor is not required to purchase hardware for server testing, training, beta, and production server environments.

Q 346: IV&V, page 73, section C.2.1.3 When does NYS DOH anticipate its specific Project Management Field Guide becoming available? If prior to the bid opening date, will bidders be provided with a copy?

A: The NYS DOH Field Guide is based on the New York State Project Management Guidebook published by the Office for Technology. It can be found at <http://www.oft.state.ny.us/pmmp/guidebook2/index.htm>. When the NYS DOH Field Guide becomes available, vendors will be notified.

L.2 Users and Stakeholders

Q 347: Page 4, B.1 Primary Stakeholders: What is the estimated total number of users for the EDRS?

A: Per Attachment 23 EDRS System Performance Stats.xls, 13,105 physicians certified death certificates in 2006; 1,495 registrars registered death certificates in 2006; 2,788 funeral directors signed death certificates in 2006.

Q 348: Page 4, Section B.1 Primary Stakeholders: Are justices or law enforcement stakeholders for querying EDR through their interfaces to EDR?

A: No.

Q 349: Section NA, Page GQ: Who is responsible (DOH or the vendor) for communication/organization/planning with the outside stakeholders (funeral homes, etc.)?

A: NYS DOH will be responsible for external stakeholder communications and interactions.

Q 350: Will the State manage the creation and management of all the user accounts for all the stakeholders, or will user creation be delegated to counties, or other entities?

A: NYS DOH will retain these responsibilities.

Q 351: How does the organizational structure of districts relate to access to data? Can the registration districts see the data within their county, or can each of the over 1,500 registration districts only see the death certificates they have registered?

A: See section C.1.13.1 Death Certificate - Access Rules and Queues for more details.

Q 352: Do the processes change by counties?

A: No. Some counties be structured differently (e.g. consolidated county versus distributed county; e.g. medical examiner county versus coroner county), but all follow the same death certificate registration processes.

L.3 Project Tools

Q 353: The RFP specifies that “The selected vendors will be required to provide their own licenses for all tools” (RFP Section C.1.2). Will DOH provide development workstations or supporting infrastructure, or does the vendor need to provide this?

Q 354: Is the vendor required to provide its own RUP Suite licenses or can it utilize DoH licenses?

Q 355: Is the vendor responsible for providing client or server licenses for the Rational tools being used for the project?

Q 356: Regarding the list of products used by DOH for managing software assets (C.1.2): Does DOH envision that the development and IVV vendor will be working from a single ClearCase and TestManager instance during the testing so only a single repository of test and defect information exists?

Q 357: Do you expect the IVV vendor will be using the development vendor’s defect management suite?

Q 358: IV&V, page 11, section C.1.2 Note 1 Vendors are required to provide their own licenses for the listed tools.

Wouldn't this complicate tracking during testing if the IV&V vendor and Developer are using different versions of the tools? Is there a way to share data?

A: See Amendment 2 for clarification of project team logistics.

All vendors are required to use the same version of the specified tools. NYS DOH will provide these versions at the start of the project.

Q 359: Page 11, C.1.2 #2: Notes for #2 states that “vendors will be required to provide their own licenses for all tools”.

Does this imply that the vendor has to provide licenses for the State and IV&V users to access these tools hosted and used at the vendor location?

A: No. Vendors must provide licenses for their project staff only.

See Amendment 2 for further clarification of team logistics.

Q 360: Page 11 Section C.1.2: Can CVS be substituted for ClearCase for source control management since the CVS features mimic those found in ClearCase?

A: No.

Q 361: Section C.1.2 stipulates that the vendor must use very specific tools for requirements tracking, development, and QA. Is this a requirement for an already completed COTS product?

A: Yes.

Q 362: Page 12: CA Erwin is a specific tool for data modeling approved by the NYS DOH. What about Enterprise Architect 7.0?

A: NYS DOH does not support Enterprise Architect.

Q 363: Within section C.2.7.1, Iterative Milestone Validation, item number 4 contains a note identifying the potential need for special software that may have an “acceptable validation” solution. Does this eliminate the need for investing in any user licenses from software listed in section C.1.2, page 11?

A: No. Section C.2.7.1 Iterative Milestone Validation, number 4 is in specific reference to system performance software used to test for and verify achievement of the system performance requirements. NYS DOH understands that this is very specialized software

and allows for IVV vendors to “review” the use of this software, and subsequent achievement of system performance goals, in lieu of purchasing and running these tests themselves. This caveat does not apply to any other software or asset management requirements.

Q 364: Per section C.1.2, concerning asset management requirements; will the development vendor be required to use the tools listed?

A: Yes.

Q 365: Given that IBM is moving away from the use of ReqPro as a formal requirements management tool and moving towards the use of DOORS (formerly Telelogic DOORS), do you anticipate a change in this tool for this project?

A: No.

Q 366: Does the IVV have to provide the Rational testing tools at IVV cost?
Even if NYS DOH could provide these cheaper or at no cost?

A: See Amendment 2 for clarification of project team logistics.

L.4 Dev & IVV Interactions

Q 367: What project structure will be created between the Development and Verification company?

A: NYS DOH has required each vendor to identify key project personnel. See sections D.1.2.2 Development Vendor Project Staffing Tab and D.2.2.2 IVV Vendor Project Staffing Tab.

See section C.1.1.3 Project Management Methodology, number 2 regarding development vendor project manager authority. The development vendor project manager will have full authority over resources assigned to the system development contract.

See section C.2.1.3 Project Management Methodology, number 2 regarding IVV vendor project manager authority. The IVV vendor project manager will have full authority over resources assigned to the IVV contract.

NYS DOH will also assign a project manager to the project. The three project managers will coordinate on most, if not all, project activities.

The NYS DOH project manager will have final authority over all project activities and tasks.

Q 368: Will there be a formal process for the Development company to dispute the findings of the Verification company?

Q 369: Page 2: Full cooperation required for vendor interaction (e.g. Developer and IVV vendor). What provisions are defined for vendor disagreement; escalation process; and related timeline for escalation/resolution process?

Q 370: Page 14, C.1.3.2 #7: Requirement #7 states that “IVV vendor is required to reject works as designed as a valid resolution of reported ease of use issues”

How would State handle the situation where ease of use issue is fixed as per IVV vendor request and approval and during future development iteration, request is made for changing what was fixed earlier as per IVV vendor’s request.

A: There will be a formal process for escalating vendor interaction conflicts. Ultimate authority rests with NYS DOH.

Q 371: IV&V, page 2, section A.2 The RFP states the “competitive procurement, which will result in fixed price contracts.” The selected Developer solution will have many factors that will affect the IV&V fixed price, i.e. technology solution and the number of iterations. How can the IV&V contractor submit a fixed price without knowledge of the selected Contractor’s solution?

A: A substantial portion of the IVV’s contribution to the project pertains to test planning, which is based on requirements that are identical regardless of the selected solution technology.

Q 372: Could the State clarify how the statements below relate to each other, if they are in conflict or defined in another section of the RFP?

a. Section C.2.1.2 Working with the Development Vendor “The selected development vendor will be responsible for creating test automation, running all tests, and achieving all quality goals prior to presenting any iterative or the final candidate to the IVV vendor for verification and validation. The quality validation requirements must be executed and proven by the development vendor before delivery of any iterative or the final candidate to the IVV vendor and NYS DOH for inspection.”

b. Section C.2.7.1 Iterative Milestone Validation “Each iterative milestone inspection test plan and IVV vendor activities should include, but not be limited to: 1. Independently running all software reliability tests (automated and manual) and logging results as prescribed for the iterative milestone. 2. Independently running all security tests and conducting an independent security review as prescribed for the iterative milestone. 3. Independently running all ease of use tests and conducting an independent usability review as prescribed for the iterative milestone. 4. Independently running system performance tests as prescribed for the iterative milestone.”

Does this mean the IVV vendor must staff and independently run (repeat) all automated and particularly manual testing procedures already completed by the development vendor?

A: Yes.

Q 373: Has the State determined a not to exceed review time period (e.g. x days) by which a determination (acceptance or rejection) regarding a deliverable, system iteration or version referred to them for review leading to final acceptance could be expected?

A: An acceptable review period will be determined per iteration or final candidate cycle. Final schedules per iteration and final candidate cycle will be subject to NYS DOH approval.

Q 374: IV&V, page 70, section C.2.1.1.2 It is extremely important for the Developer to build appropriate time into their project timeline for IV&V verification and validation efforts since these are required within the time periods stated (e.g., pilot starts within 24 months of contracting and this includes IV&V time). How does DOH plan to ensure sufficient time is included in the development contractor's Project Plan?

A: Scheduling for each iteration and the final candidate cycle will include input from all affected parties. Final scheduling per iteration or final candidate cycle will be subject to NYS DOH approval.

L.5 DOH and Vendor Resources

Q 375: Please provide a detailed accounting of the specific extent of involvement expected from NYS provided resources in the project.

Q 376: How many people from the NYS DOH be working full time on supporting the requirements gathering needs of this project?

A: NYS will provide the appropriate number of staff to support refinement of requirements, project planning and oversight, coordination with NYS DOH affected groups, and resolution of issue.

Q 377: Page 8 Section C.1.1.3 Number 6: Will NYS DOH be assigning an individual to be the sole project manager for this project?

Q 378: Section C.2.1.3; #5, Page 74: Is the anticipated NYS DOH Project Manager assigned full-time or part-time to the project? Does the anticipated NYS DOH Project Manager have an IT background or experience relevant to an application development project.

A: NYS DOH will assign a project manager to the project. The project manager will be allocated appropriately and have appropriate qualifications.

Q 379: The RFP states “The vendor is required to assign a single business analyst to the project” (RFP Section C.1.1.3). Can a vendor staff more than one dedicated Business Analysts for the project or is this a minimum number?

A: The vendor is not restricted to assigning more than one business analyst to the project.

Q 380: Section D.2.2.2, Project Staffing Tab requesting a summary of key people and percentage of time allocated exclusively to the project and also asks when they are not exclusive to the EDR project. Is this consistent with C.2.1.3?

A: Yes. Project participants identified as “key personnel” are required to be assigned to the project 100%. Amendment 1 available on the NYS DOH website includes a correction to attachment 11 wherein we changed “all personnel” to “key personnel.” Under the auspice of providing summary information for all personnel, we required indication of when staff was not assigned fully to the project. Given the stated change, we still require key personnel to be assigned to the project 100%.

L.6 DOH Acceptance

Q 381: Has the State developed any criteria it intends to use to evaluate a deliverable, system iteration or system version (beta, pilot, acceptance or final candidate) referred to them by the IVV vendor for review leading to final acceptance?

A: The specific details of NYS DOH’s review of deliverables it receives from (and that are accepted by) the IVV are not available for public consideration.

L.7 Location of Dev & IVV Activities (on-shore/off-shore)

L.7.1 Off-Shore Development and Testing

Q 382: Does NYS DOH have any preference with respect to onsite/offsite/offshore development (or any combination of the three)?

Q 383: Page 2, section A.2, Will the staffing be required to be “on-shore” or can work be subcontracted to “off-shore” development staff making use of staff outside New York State and/or in a foreign country?

Q 384: Can the vendor utilize their offshore capabilities to support this effort?

Q 385: Can development work for this project be done offshore?

A: Off-shore development and testing is prohibited.

L.7.2 On-Site Development and Testing

Q 386: Page 7, Section C.1.1.3 Numbers 2 & 3: It states that the project manager and the business analyst “will be required to maintain regular presence on NYS DOH premises, in particular during the analysis phase portions of each iterative cycle during the project”. What do you define as “regular presence”?

Q 387: Section C.1.1.3 2 and Section C.1.1.3 3 - Please define “regular presence”, (100%, 75%, etc.).

Q 388: Page 7: Project Manager must maintain an onsite presence. Does this have to be 100% of the time? What about 50% with remote interaction?

Q 389: Page 7: Business Analyst must maintain an onsite presence, particularly during the analytical portions of each iterative cycle. Does this have to be 100% of the time? What about 50% with remote interaction?

Q 390: Is the PM required to be onsite full time for the duration of the project?

Q 391: IV&V, page 70, section C.2.1.1 The IV&V contractor is required to “provide ongoing, interactive, on-site technical and...” The RFP does not specify where the development contractor is required to work, therefore is the assumption that the IV&V contractor will be housed at DOH? If our assumption is correct, please define the space/support that will be provided, i.e. workstation, photocopy, and telephone. Will DOH consider a contractor’s Albany-based office as on-site?

Q 392: Do you expect a majority of the team to be onsite in Albany?

Q 393: Section C.1.1.3; #2, #3, Page 7: Are these the only staff required to be located on-site? Are there any other restrictions, security or otherwise, on the location of the project staff.

Q 394: If there is to be any onsite vendor presence, then how many onsite vendor resources can be accommodated by the DOH and with what resources would they be provided (e.g. cube, phones, VPN access, etc.)

Q 395: Page 7 Section C.1.1.3 Numbers 2 & 3: Will the project manager and business analyst be provided with a specific location, phone and computer to work on NYS DOH premises?

A: See Amendment 2 for clarification of on-site presence requirements.

L.8 Additional Requirements and Requirement Refinement

Q 396: Are use cases available for the NYS specific requirements? (C.1.13) If no, who is responsible for developing them? What template should be used for use case definition? (C.1.2).

A: Use case diagrams are not available for NYS DOH-specific requirements. Further use-case diagram development will be conducted by the selected vendor, in conjunction with NYS DOH and as needed to support development and testing. Further use cases will use an agreed-upon template.

Q 397: Do additional requirements need to be gathered? For example, C.1.13.2 says “definition and business rules for queues will be defined and established with the selected development vendor”.

Q 398: Section C.1.1.2; #5, Page 6: Are there any additional requirements that are not detailed in the RFP that must be met in order to accomplish this requirement? For example are there special access or networking requirements?

A: NYS DOH is aware of some circumstances which will require additional business analysis, and which may yield further requirements. NYS DOH expects these to be minimal.

Q 399: The RFP quotes the National Use Case Model and cites specific NY requirements that modify or omit functionality required in this model. Are all the requirements of the National Use Case Model included as requirements for the purposes of this project except where specifically omitted or modified in the RFP?

A: Yes.

L.9 Standards (Security, Disabilities Users, etc.)

Q 400: While the RFP document has content discussing access, we could not find specifics for persons with disabilities. Is there a specific standard for person with disabilities that we should be aware of?

Q 401: (E.13) The RFP package contains some general accessibility standards for disabled users. Does the NYS DOH have any specific stance on whether NYS DOH sites can utilize dynamic user interface techniques such as AJAX in order to maximize usability and reduce network bandwidth utilization? How does the State balance those capabilities with the need to remain accessible to disabled users? Does the State utilize standards such as ARIA in the hope that screen readers will one day be able to accommodate these techniques?

A: Current NYS Policy and Standard on Accessibility of Web-Based Information and Applications are NYS-P08-005 and NYS-S08-005, respectively. They are available at <http://www.oft.state.ny.us/Policy/NYS-P08-005.pdf> and <http://www.oft.state.ny.us/Policy/NYS-S08-005.pdf>

Q 402: C.1.1.2 #10 “All design, development, coding, and deployment must conform to DOH standards, especially in regards to application, data, and network security.” Can DOH provide a copy or link to these standards to assist in proposal development?

Q 403: Both, page 7, section C.1.1.2.10/Attachment 22 Is Attachment 22 the DOH standards for the design, development, coding and deployment? If not, please provide the standards.

Q 404: Have all DOH standards that must be conformed to been included in the attachments? (C.1.1.2)

Q 405: Do System Standards documents exist that define NYS’ current standards? (C.1.2)

A: Aside from the standards documents provided with the RFP, no other bureau-wide standards are currently available.

Q 406: (E.13) Does the NYS DOH have a specific inspection process, certification, checklist, committee, and/or other means by which to establish that the application is compliant with the State of NY accessibility requirements?

A: The inspection process will be established collaboratively between NYS DOH and the selected IVV vendor.
